

ANNUAL REPORT 2000

# Carnegie Corporation of New York





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Carnegie Corporation of New York was created by Andrew Carnegie in 1911 to promote “the advancement and diffusion of knowledge and understanding.” Under Carnegie’s will, grants must benefit the people of the United States, although up to 7.4 percent of the funds may be used for the same purpose in countries that are or have been members of the British Commonwealth, with a current emphasis on sub-Saharan Africa. As a grantmaking foundation, the Corporation seeks to carry out Carnegie’s vision of philanthropy, which he said should aim “to do real and permanent good in this world.”







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ANNUAL REPORT 2000

## Report of the President

Vahter Gregor





## Some Reflections on the Historic Roots, Evolution and Future of American Philanthropy

In its 1919 obituary for Andrew Carnegie, the *New York Sun* called him the “personification of *Triumphant Democracy*,” referring to Carnegie’s own book on America. Written in 1886, it gloated over statistical evidence of the young democracy’s success, and in deference to European readers, Carnegie coated “the wholesome medicine of facts in the sweetest and purest sugar of fancy at my command.” As the *Sun* noted, the book was quintessential Carnegie: an ebullient, over-the-top, unrelentingly optimistic, 509-page love song, dedicated by the Scottish immigrant to his new homeland: “To the Beloved Republic under whose equal laws I am made the peer of any man, although denied political equality by my native land, I dedicate this book with an intense gratitude and admiration which the native-born citizen can neither feel nor understand.”

A book critic asked rhetorically, “Where are the shadows?” Carnegie swiftly replied, “The book was written at high noon when the sun casts no shadows.”

Carnegie’s story is an original. He grew up in poverty just north of Edinburgh with slogans like “death to privilege” ringing in his ears. His father was a weaver and his grandfa-

ther was a shoemaker, and both were politically active in organizing trade unions and demanding democratic reforms including the common man’s right to vote. In the “Hungry Forties,” with borrowed money, the family emigrated to Pennsylvania. There, Carnegie began work in a factory at the age of 12, cashed his first dividend check at 21 and, at 33, was wealthy,

privileged and torn by conflicting values.

“The amassing of wealth is one of the worst species of idolatry,” the rich young man wrote. “Whatever I engage in I must push inordinately; therefore should I be careful to choose that life which will be the most elevating in its character.” He made a creative compromise. Proclaiming himself a trustee of public wealth, he justified his zeal for making money by passionately reinvesting it in education, science and culture to “benefit humanity for generations untold.”

A hundred years have now passed since March 2, 1901, the day when Carnegie completed one of the most significant financial transactions in American history by selling the steel empire he had built, and which was the source of his wealth, to J.P. Morgan for \$480 million. It was one of the world’s largest fortunes, acquired before income taxes or antitrust laws. That day in March, Carnegie also retired from business and, with the proceeds from the sale of the Carnegie Company (which included Carnegie’s steel holdings) and his accumulated wealth, he expanded the range and scope of his giving. In the last 18 years of his life, Carnegie made the vast majority of his philanthropic gifts, which ultimately exceeded \$350 million.

A social reformer to the end, Carnegie bequeathed pensions to one retired U.S. president and the widows of two other Presidents, hoping that the example of his private generosity would promote public responsibility in this area. Down to his last million dollars, in his will, he supported knowledge and its diffusion with generous gifts to several colleges and the “relief of needy writers” through the Authors Club of New York. Carnegie himself wrote a dozen books, including six collections of essays, and he included many writers among his friends and correspondents. (Feigning need, Mark

Twain once wrote to Carnegie: “You seem to be in prosperity. Could you lend an admirer a dollar & a half to buy a hymn book with?... P.S. Don’t send the hymn book, send the money. I want to make the selection myself.”)

A century later, the occasion of the anniversary of Andrew Carnegie’s transfer of wealth from business to philanthropy provides an opportunity to reflect on Carnegie’s role in philanthropy as well as philanthropy’s role, responsibilities and challenges in the nation. As Americans, we tend to be impatient with history, preferring to figure out things ourselves rather than figuring out what others have done before us. But taking a retrospective glance at American philanthropy can be inspirational and instructive. After all, citizen philanthropy is an important component of our participatory democracy, as most Americans share their time and money for public causes. Yet this public generosity—unrivaled in the world for its diversity, depth and scope—is also one of the nation’s least appreciated strengths since it has become taken for granted. Knowledge of the role of American philanthropy gives a better understanding of the critical importance of public-private partnerships as well as citizen participation in our polity.

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## Philanthropic Society: Once a Radical Idea

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Over time, the words for humanitarian acts—including volunteerism, mutual assistance, charity and philanthropy—have blurred together, blurring, as well, important distinctions. Charity and philanthropy, for example, have been used interchangeably, but they are really different sides of the same coin. Charity, which is derived from the Latin word *carus*,



meaning dear, has a long religious history; for Christians, Jews and Muslims, for example, it has meant giving immediate relief to human suffering without passing judgment on those who suffer. Philanthropy has a more secular history and comes from the Greek word *philanthropos*, meaning love of mankind. The Greek meaning carried over to English and, for the longest time, philanthropy referred only to a caring disposition toward one's fellow man. Now the word is used to describe generosity that promotes human progress in any field. While the term philanthropist may conjure up generous millionaires and billionaires, the vast majority of gifts of time and money come from average American families.

This modern definition evolved slowly, starting in Europe at the turn of the 17<sup>th</sup> century. At that time, there was a burst of philanthropic activity, mostly associated with forming mutual-aid societies and promoting

*Still, the revolutionary idea of philanthropic citizens working together for societal benefits persisted and it crossed the Atlantic with some idealistic colonists who believed in mutual-aid and voluntary associations.*

humanitarian reform. But as social problems festered, citizens' efforts were considered inadequate and states took greater responsibility for providing relief. England, for example, enacted its landmark Statute of Charitable Uses in 1601. The law codified the state's responsibility for assisting the poor, aged and orphaned—as well as for providing hospitals, schools and univer-

sities. Other nations, in Europe and elsewhere, followed this model, dampening the growth of civil society—a term that refers to all the voluntary entities that operate apart from government and business.

Still, the revolutionary idea of philanthropic citizens working together for societal benefits persisted and it crossed the Atlantic with some idealistic colonists who believed in mutual-aid and voluntary associations. Preaching from the deck of the Arbella as it sailed toward New England in 1630, the Puritan leader John Winthrop spoke passionately about the interdependence of the community: “We must delight in each other, make others' conditions our own, rejoice together, mourn together, labor and suffer together.”

A half century later, in 1682, William Penn led his Quaker followers to Pennsylvania, where they intended to establish a society based on wider freedoms than they had enjoyed in the Old World. This “holy experiment,” as Penn called it, included good will towards one's fellow members of society as a deeply rooted principle. “True Godliness,” he said, “doesn't turn men out of the world, but enables them to live better in it, and excites endeavors to mend it.”

Idealism aside, the colonists faced the stark choice of either going without societal amenities and necessities or providing them through cooperative effort. In this organic way, then, voluntary associations formed to fill every void in the community, from fighting fires to lighting street lamps. These voluntary associations became the backbone of civil society. Inevitably, wealthy civic leaders became philanthropists and often lent their names to important institutions. In 1638, John Harvard gave his library and half of his estate to a new school in Cambridge. Following his example over the



centuries were the likes of Elihu Yale, Thomas Gallaudet, John Hopkins and Leland Stanford. Chiseled in stone above the entrance to the main building of the New York Public Library are the names Astor, Lenox and Tilden. Other names grace many great institutions—the Guggenheim Museum, the Mayo Clinic, The Rockefeller University, the Morgan Library, the Huntington Library, the Newbury Library, the Field Museum, The Frick Collection, the Smithsonian Institution—and remind us of philanthropists' role in educating the young, preserving our culture and improving our civil society.

Benjamin Franklin, of course, was the genius of mutual-aid societies. In 1727, at the age of 21, he formed a club named Junto for the mutual improvement of its members and the community. Over the years, one thing led to another: the founding of Philadelphia's first library; a volunteer fire company; plans for paving, cleaning, lighting and policing the streets; a mutual insurance company; a hospital and an academy, which subsequently became the University of Pennsylvania.

Benjamin Franklin was reflecting the ideas of the 18<sup>th</sup> century Enlightenment and the moral philosophy of Adam Smith. Today, Smith is best known for advocating laissez-faire capitalism in his second book *The Wealth of Nations*, but he based his economic theories upon his view of human nature, which he described in his first book, *The Theory of Moral Sentiments*, published in 1759. There, he theorized that man is driven by passionate self-interests, but moderates them with his intellect and innate sympathy for others. In this book, Smith first made the famous statement that, when people are left to follow their self-interests, they are "led by an invisible hand, without knowing it, without intending

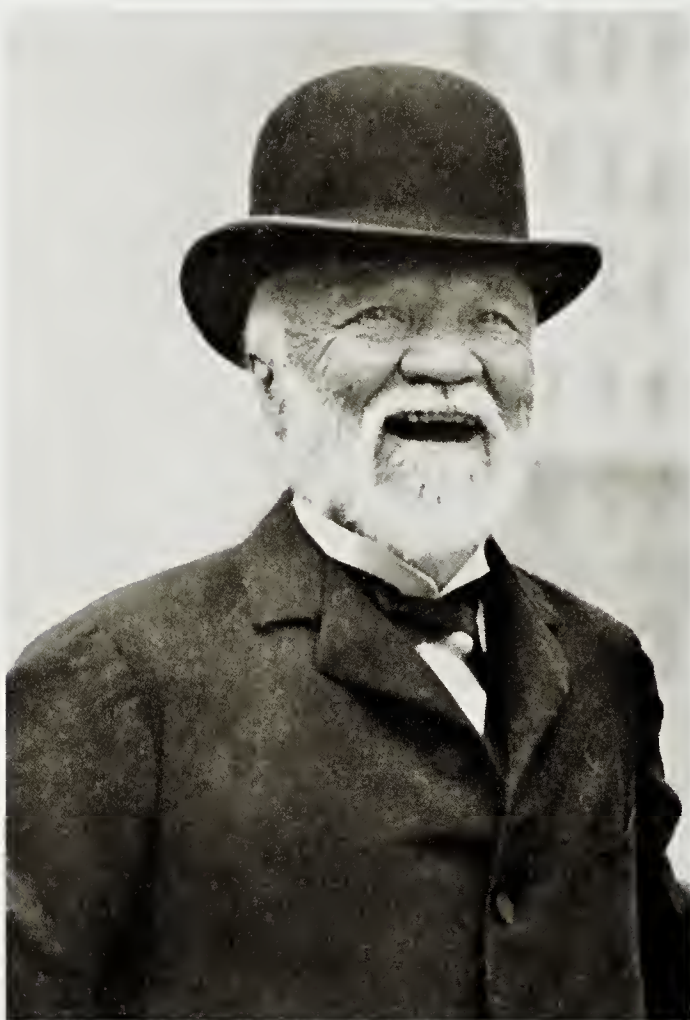
it, to advance the interest of the society."

Indeed, in the British Isles alone, the 18<sup>th</sup> century saw significant growth of voluntary associations and mutual-aid societies. Some examples suggest their range of interests: the Dublin Society for the Improvement of Husbandry; the Lunar Society of Birmingham, for members to exchange technical and scientific information; and the London Society of Arts, which encouraged "trade and manufactures."

Across the Atlantic, the nation saw a "baby boom" of voluntary organizations in the years following the American Revolution. In September 1787, for example, the *Pennsylvania Herald* carried laudatory letters to the editor about the large number of new associations. They included a society for the "gradual abolition of slavery," a society for the "promotion of political inquiries," a society devoted to the "medical relief of paupers" and a society for "alleviating the miseries of public prisons."

It is also worth noting that some of our founding fathers did not welcome the phenomenal growth of associations. They cited the fact that associations had no specific legal basis for existence, apart from the citizen's right of free assembly. George Washington was among those who feared that nongovernment organizations would become too powerful—after all, voluntary associations like the Sons of Liberty had helped the colonies defeat England, then the world's mightiest power. In his farewell address to Congress in 1796, Washington warned that "cunning, ambitious and unprincipled men" could use these associations to "subvert the power of the people, and to usurp for themselves the reins of government."

Throughout American history, in fact, the practice of sharing great wealth for public benefit has periodically rubbed our democratic



“There remains, then,  
only one mode of  
using great fortunes . . .  
the reconciliation of  
the rich and the poor.”

principles the wrong way, especially since the variety of philanthropic causes ensured their involvement in political controversies. The historian Robert Bremner adroitly captures our mixed feelings: “We expect rich men to be generous with their wealth, and criticize them when they are not—but when they make benefactions, we question their motives, deplore the methods by which they obtained their abundance and wonder whether their gifts will not do more harm than good.”

Nevertheless, 19<sup>th</sup> century America captured the world’s imagination with the way its extensive network of voluntary associations, mutual aid societies and citizen philanthropists—both rich and poor—were building the institutions of civil society. This was a radical idea in a world where the State was almost synonymous with society. In 1835, an international best-selling book spread the news. The book, of course, was *Democracy in America*, written by the 30-year-old French aristocrat Alexis de Tocqueville.

He explained how citizens’ associations played a critical role in preserving and strengthening the modern world’s first nation that did not have a ruling class. He coined the word “individualism” to describe the self-reliant character of Americans, who reveled in their freedom from aristocracies. While noting that this unrestrained freedom might well have turned into anarchy, he also observed that the excesses and negative aspects of individualism were held in check by citizens’ benevolent associations, which were organized to influence politics and address societal concerns. He also pointed out that the United States was that rarest of places, a nation that actually belonged to its citizens, and this sense of ownership fostered a communal, barn-raising spirit. “Americans of all ages, all conditions



and all dispositions constantly form associations,” he marveled. Tocqueville attributed this generosity to a widespread sense of obligation to repay the country for providing the benefits of freedom and a free market. Citizens, he observed, seemed to have an “enlightened regard for themselves,” which spurred them to “willingly sacrifice a portion of their time and property to the welfare of the state.” At its best, Tocqueville believed that “enlightened self-interest” would help citizens distinguish between integrity and compromise, justice and injustice, personal gain and public interest, means and ends, good and evil.

By 1854, there was so much philanthropic activity in America that Henry David Thoreau wrote, “As for doing good, that is one of the professions which are full.”

The 19<sup>th</sup> century saw the birth of the National Council of YMCAs in 1851, the Salvation Army in 1865, the American Red Cross in 1881, the National Benevolent Association in 1887 and the Volunteers of America in 1896—all of which are among the nation’s 50 largest charities today.

Doing good was also gaining in sophistication. A central concern of late 19<sup>th</sup> century philanthropies was that misguided charity promoted dependence among the poor. Reformers called for replacing charity with what they called “scientific philanthropy.” It was not scientific, but it was a deliberate effort to consider the root causes of poverty and develop preventive measures and self-help programs to eradicate the problem. By raising the hopeful prospect of actually solving entrenched social problems, the reformers energized philanthropy and contributed to its phenomenal growth in the 20<sup>th</sup> century. In addition, the concept of taking care-

fully planned steps to reach goals became central to what is now called strategic philanthropy.

Near the turn of the 20<sup>th</sup> century, the *New York Tribune* estimated that the Industrial Revolution had created more than 4,000 millionaires—a staggering number for the times. The newly rich had three basic choices for handling their wealth: They could spend the money on themselves and their families. They could share the wealth with charitable causes. Or—if they were pioneers in philanthropy—they could invest their wealth for society’s long-term benefit. Andrew Carnegie, John D. Rockefeller, J.P. Morgan, Andrew W. Mellon, J. Howard Pew and Henry Ford were among the pioneers who ushered in the modern age of philanthropy. They created a new type of institution: the foundation, which had a broad mission to benefit mankind in perpetuity.<sup>1</sup> In these new, independent organizations, decision making and management were delegated to boards of directors.

At the time there were few boards of directors and even the word “management” itself was a novelty. Interestingly, the term was first used not by businesses, but by government

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agencies, nonprofit organizations and “scientific philanthropies” that created efficient organiza-

<sup>1</sup> Actually, by the time Andrew Carnegie placed the bulk of his fortune in one philanthropic organization—Carnegie Corporation of New York—he had created so many other institutions that he had used up all the conventional labels (foundation, endowment, trust, etc.), which meant that the Corporation received a name that is not really indicative of its mission or activities.



tions for setting priorities and taking steps to reach goals. In 1922, seven years before becoming president, Herbert Hoover organized the world's first "management conference." The same year, he wrote a book, entitled *American Individualism*, that described the healthy growth of the "associative state." The book publicized and promoted two parallel trends: first, the increasing rate at which privately owned companies were becoming publicly owned and, thus, more accountable through their boards of directors; and second, the growing number of nonprofit organizations that were pioneering professional management practices, including making decisions more publicly through their boards.

Philanthropies were not confined to building monuments such as universities, hospitals and museums. Many were doing the less visible but vitally important work of helping nonprofit

*Many were doing the less visible but vitally important work of helping nonprofit organizations perform public services.*

organizations perform public services. Some notable examples: the Russell Sage Foundation, established in 1907 by Mrs. Russell Sage, a financier's widow, focused on "social betterment," which initially included research on tuberculosis and provided for children's recreation. The Rosenwald Fund, established in 1917 with money Julius Rosenwald made at Sears, Roebuck and Company, provided matching grants for African-Americans to build more than 3,200 public and private schools in the South and supported black scholarship and the National Association for the Advancement of Colored People. The Century Foundation,

formerly the Twentieth Century Fund, established in 1919 by Edward A. Filene, the department-store magnate, helped establish trade and credit unions in an effort to redistribute income. Foundations, all taking a role in improving society, sprang up all over the country: Rockefeller Brothers Fund, Rockefeller Foundation, the Charles A. Dana Foundation and the Horace W. Goldsmith Foundation in New York; Kresge Foundation, W. K. Kellogg Foundation and Charles Stewart Mott Foundation in Michigan; the Meadows Foundation in Texas; the Spencer Foundation and Joyce Foundation in Chicago; the John S. and James L. Knight Foundation in Florida; the Annie E. Casey Foundation in Maryland; the William Penn Foundation in Pennsylvania; the Ahmanson Foundation in California; the Meyer Memorial Trust in Oregon and the list goes on.

In his essay, "Foundations in the American Polity," David C. Hammack summed up the growing role of these organizations in building a democratic civil society: "From their appearance shortly after 1900, foundations have played their most important role as reinventors of the nonprofit sector, as reshapers of nonprofit institutions, as organizers of new nonprofit institutions."

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## Andrew Carnegie: "Trustee" of Public Wealth

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When it comes to reinventors and reshapers of American society, Andrew Carnegie personifies the difference an individual with an altruistic vision can make. Although he is still best known for building 2,500 public libraries—which are enjoyed by 35 million people a day—two less well-known examples of his philanthropic work show how he wove his idealism into public policy:

- After his retirement from business, Carnegie became a tireless promoter of ways to further the cause of peace. In a 1907 speech—which was ultimately translated into 13 languages, with more than three million copies in print—Carnegie attacked the evils of war, calling it “the foulest fiend ever vomited forth from the mouth of Hell.” With equal passion, he argued that war might be eliminated if a global organization, which he later proposed calling a “league of nations,” were established with authority to settle international disputes through arbitration and the use of economic sanctions. After World War I, President Woodrow Wilson’s proposal for the League of Nations had much in common with Carnegie’s ideas, as did subsequent proposals for the United Nations.
- While serving as a trustee at Cornell University, Carnegie was shocked to discover that teachers, “one of the highest professions,” earned less than his clerks and lacked retirement benefits. In 1905, he established a \$10 million endowment to provide free pensions to college and university teachers. But there were strings attached, and one requirement was that participating institutions had to have the highest academic admission standards of the day. Of the first 421 applications, only 52 institutions were deemed eligible for the free pension program. Faced with the ensuing professorial revolt, colleges and universities across the nation raised their academic standards in order to join the pension system. Carnegie’s biographer, Joseph Frazier Wall wrote, “With his pension plan, [he] had done more in a year to advance the standards of higher education within the United States than probably any carefully conceived program to accomplish that goal could ever have done.” There’s an interesting footnote to this

story: As more and more colleges raised standards in order to join the free pension system, Carnegie realized that his personal wealth could not support its growth. So in 1918, with a \$1 million gift, he established the Teachers Insurance and Annuity Association of America. The association managed retirement accounts, which were jointly funded by teachers and their employers. Now called TIAA-CREF, it is one of the world’s largest insurance companies, with about \$300 billion in assets.

Carnegie’s fortune became the nation’s good fortune. In his 1899 essay, *The Gospel of Wealth*, he explained how he had come to terms with being both a capitalist and a social reformer, and he encouraged others to follow his path. He wrote that while it was inevitable that some people became rich in a capitalist society, the rich should realize that they were merely trustees of a democracy’s public wealth. As such, they were morally obliged to reinvest it as wisely as they could for the public good. As Carnegie put it, “Not until the dollars are transmitted into service for others, in one of the many forms best calculated to appeal to and develop the higher things of the moral, intellectual, and esthetic life, has wealth completely justified its existence.”

The publication of *Gospel* created an international stir, praised by many, denounced by others. Some objected to Carnegie’s assumption that the problem of wealth was its administration—not its concentration—and that the rich knew better than the people themselves how to spend it. In his book, *The Greatest Good Fortune: Andrew Carnegie’s Gift for Today*, Simon Goodenough concluded, “It is possible to forgive his conceit because he made provision for others, not himself, to determine how his money should be spent after his death.” At



the time, some religious leaders said Carnegie's gospel, though novel in its statement, varied little from Judeo-Christian tradition. But many objected to his philanthropic advice to would-be philanthropists: On a suggested gift list, he ranked gifts to churches dead last, below swimming baths, meeting halls, parks, hospitals, libraries and universities, which he considered the most important.

In addition to spreading his gospel of generosity, Carnegie was an innovative philanthropist. He was a prime advocate of so-called scientific philanthropy, and he favored planned, long-term investments that provided communities "the ladders upon which the aspiring can rise." As mentioned earlier, Carnegie was among the small group of philanthropists who invented the modern day foundation, with its professional managers and broad missions to provide societal benefits in perpetuity.

It took Wall, Carnegie's biographer, more than 1,000 pages to define Carnegie's place in history, but it is possible to get a sense of his impact by just mentioning the institutions that he built and then endowed for the public's perpetual benefit, both in the United States and the British Isles. In chronological order of their creation, the 11 Carnegie trusts and institutions are:

**1895.** Carnegie Institute in Pittsburgh, endowed with \$6 million, with the purpose of celebrating art, science, music and literature. Built at a cost of about \$20 million, the institute has a library, art gallery, music hall and museum of natural history. Among other natural wonders, the museum displays two dinosaurs, *Diplodocus carnegie* and *Apatosaurus louisae*, named after his wife. The museum helped preserve famous dinosaur quarries in northeast-

ern Utah, which are now part of the Dinosaur National Monument.

- 1900.** Technical Schools, endowed with \$2 million, offered technical training at the secondary level in Pittsburgh. The school quickly evolved into the Carnegie Institute of Technology, a college that received an additional endowment of more than \$7 million. In 1967, the Carnegie Institute merged with the Mellon Institute to become Carnegie-Mellon University. The university has colleges in engineering, fine arts, science, industrial administration, humanities and social science.
- 1901.** Carnegie Trust for the Universities of Scotland, endowed with \$10 million, was created "for improving and extending the opportunities for scientific study and research" as well as providing scholarships for needy students—a provision that was then attacked as radical, based on the fear that admitting the poor would lower standards.
- 1902.** Carnegie Institution of Washington, endowed with \$22 million, was the nation's first nonprofit research institution. It has operated five centers for basic research, including the Mount Wilson and Las Campanas Observatories. Two of its scientists have won Nobel Prizes for their work in genetics.
- 1903.** Carnegie Dunfermline Trust, endowed with about \$4 million, was created to benefit the 26,000 residents of Carnegie's birthplace in Scotland. As he put it, "to bring into the monotonous lives of the toiling masses of Dunfermline more of sweetness and light." The trust has provided village residents with social, educational and recreational opportunities.



**1904.** Carnegie Hero Fund Commission, endowed with about \$6 million, “to honour civilians who risk their lives saving or attempting to save the lives of other persons, and to provide financial assistance to disabled heroes and to the dependents of heroes who lose their lives in the performance of the rescue acts.” Helping heroes was Carnegie’s favorite charity and, by 1911, he had created 10 other hero funds in Europe. All together, the 11 hero funds had a total endowment of \$10.5 million.

**1905.** Carnegie Foundation for the Advancement of Teaching, endowed with \$16 million, was initially established to provide free pensions to college and university teachers. After 1931, the foundation concentrated on research to improve education.

**1910.** Carnegie Endowment for International Peace, endowed with \$10 million. Its purpose was to “hasten the abolition of international war, the foulest blot upon our civilization.” The organization’s agenda has included research by resident scholars, publications such as *Foreign Policy*, conferences and improvements to education in international relations.

**1911.** Carnegie Corporation of New York, endowed with \$135 million and, thus, the largest permanent philanthropic trust ever recorded at that time. Its mission was “to promote the advancement and diffusion of knowledge and understanding.” The Corporation’s assets have grown to about \$1.9 billion, and the foundation annually invests about \$75 million in long-term efforts to promote peace and education, largely through research.

**1913.** Carnegie United Kingdom Trust, endowed with \$10 million, for the “well-being of the masses of the people of Great Britain and Ireland.” The trust has provided support for a wide variety of community services, ranging from child welfare programs to community theaters.

**1914.** Church Peace Union, renamed the Carnegie Council on Ethics and International Affairs in 1986, was endowed with about \$2 million. Its mission was to “promote peace, through the rallying of men of all religions to supplant war by justice and international brotherhood.” Through its publications, forums and research, the organization has promoted the application of ethics to key international problems and helped refugees displaced by war and natural disasters.

In designing institutions that would perpetually promote the public welfare, Carnegie realized the need to give trustees flexibility to adjust their humanitarian agenda “as the needs and expectations of society changed.” He was so farsighted, and so optimistic, that his instructions to the peace foundations encouraged them to move on to other concerns “when war is discarded.”

What is amazing, and a testament to the strength of Carnegie’s vision, is that all 11 institutions continue their missions in science, culture, education and peace. This is the case also with us, here at Carnegie Corporation of New York, where we continue programs in education, democracy, international development, and international peace and security.<sup>2</sup>

In addition to endowing the above institutions, Carnegie spread countless other gifts.

<sup>2</sup> I have discussed details of our program in other essays: “Some Preliminary Thoughts,” 1997; “Libraries and Andrew Carnegie’s Challenge,” 1998, and “Strengthening Scholarship and Research in the Former Soviet Union,” 1999.

In New York alone, he built 66 free libraries throughout the five boroughs of New York, created the nation's first medical research laboratory, at Bellevue Hospital, and supported the New York Zoological Society and the New York Association for the Blind. He also spent \$2 million building Carnegie Hall, but that was as much a business undertaking as a cultural investment. Shortly after his death, Carnegie Corporation sold the hall to private interests.

In his *Gospel*, Carnegie declared that “the man who dies rich, dies disgraced.” In 1919, he died gracefully. He had already provided for his daughter and wife “beyond her desires,” as he wrote in his will, which completed the disposition of nearly all of his wealth to mankind's future. His home, the mansion on East 92<sup>nd</sup> Street in Manhattan, was ulti-

*In his Gospel, Carnegie declared that “the man who dies rich, dies disgraced.”*

mately donated to the Smithsonian, becoming home to the Cooper-Hewitt Museum. And his crenelated castle in Scotland was ultimately sold to benefit the United Kingdom Trust. (Above one of the castle's fireplaces, Carnegie had his favorite saying carved into the woodwork: “He that cannot reason is a fool; He that will not is a bigot; He that dare not is a slave.”)

## Triumphant Philanthropy

More than a century after Carnegie extolled the American way in *Triumphant Democracy* and 165 years after Tocqueville coined the term individualism, the American character remains unique in the world—and something of a mystery, both at home and abroad. The

historian Arthur M. Schlesinger has helped clarify the idea of individualism. “It is not the individual's independence from other individuals, but his and their freedom from government restraint,” he wrote. “Traditionally, the people have tended to minimize collective organization as represented by the state while exercising the largest possible liberty in forming their own voluntary associations.”

This ingrained self-reliance, rather than reliance on government, is still an American trademark. Americans participate in more civic organizations and give more generously of their time and money to public causes than citizens in other major nations, according to international studies done in the 1990s. “Nothing sets this country as much apart from the rest of the Western World as its almost instinctive reliance on voluntary, and often spontaneous, group action for the most important social purposes,” Peter F. Drucker wrote in his 1993 book, *The Ecological Vision: Reflections on the American Condition*.

In some parts of the world, such as the former Soviet Union, voluntary associations were banned and charities nationalized during the Communist period. Now, we're seeing these countries make efforts to create civil societies and philanthropic enterprises. Though currently small, these efforts are stimulating citizen participation and strengthening their communities and democracies. In other developed nations, voluntary associations and philanthropy are growing rapidly despite lingering cultural barriers. Many Europeans, for example, are still accustomed to the state providing most of the services and amenities of a modern society—and, in return, collecting very high taxes. “People first ask, what can the state do; and only secondly do they ask, what they can do themselves,” Winfried Ripp, head



of Dresden's Community Foundation, recently told the *Christian Science Monitor*. According to a German study in 1997, American citizens gave, on a per capita basis, nearly seven times as much as their German counterparts and about six times as many Americans as Germans did volunteer work, after accounting for differences in population size.

Nonetheless, all over the world citizens are taking greater responsibility, fueling an explosive growth of nonprofit organizations in recent decades. In their 1999 book, *Global Civil Society: Dimensions of the Nonprofit Sector*, Lester M. Salamon, Helmut K. Anheier and their co-authors say that a "global associational revolution" appears to be underway. All over Europe, for example, citizens' associations have grown rapidly in the last three decades. Even Hungary had more than 13,000 associations within two years after Communism collapsed. The authors also note the paradox that new nonprofits in Central and Eastern Europe actually receive more support from philanthropy, on a percentage basis, than do American nonprofits, presumably because the new nonprofit organizations in these countries have not yet learned how to generate more income from charging fees, which is the primary source of income for U.S. nonprofits. Interestingly, four nations—the Netherlands, Ireland, Belgium and Israel—had such well-developed civil societies in 1995 that they actually had a higher percentage of their citizens employed by nonprofit organizations than did the United States, which had 7.8 percent of its citizens employed by nonprofits (almost 1 in 12, either as an employee or a volunteer). The authors attributed the growth of nonprofits around the world to increasing doubts about the exclusive capability of a state to cope with societal problems, the communications revolution and the

expansion of a middle class that is frustrated by slow economic and political progress.

In Britain, there are also signs of a growing philanthropic ethic. In an effort to promote American-style philanthropy, the government recently launched a publicity campaign called *Get Britain Giving* and enacted a tax law that encourages donations. Universities such as Oxford, Cambridge and the London School of Economics have also begun efforts to create

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*Nonetheless, all over the world citizens are taking greater responsibility, fueling an explosive growth of nonprofit organizations in recent decades.*

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a tradition of giving by graduates, corporations and foundations. "We in Britain do indeed have a long way to go before we can match the culture of giving in America," D. Duncan Rice, principal of the 500-year-old University of Aberdeen, Scotland, wrote in a recent essay. Referring to the university's campaign to raise about \$215 million by 2010, he added: "Seen through American eyes it may seem trivial, but it is regarded by many in this country as being ambitious to the point of frivolity. The same is true of all sorts of other civilizing institutions from which the welfare state is retreating, but which private philanthropy must move to support."

In America today, philanthropy is woven almost invisibly into the cultural fabric. Of course, we see some spectacular displays of generosity from donors like Mrs. Vincent Astor, Paul Mellon, Walter Annenberg, David and Laurence Rockefeller, J. Paul Getty, George



Soros, Bill Gates, Ted Turner, David Packard, William Hewlett, Mrs. Irene Diamond, Agnes Gund, Teresa Heinz and Dorothy and Lewis Cullman. The honor role of major benefactors is far too long to include here, but some exemplary members are Michael Bloomberg, Bob and Larry Tisch, Elaine and Jim Wolfenshon, Sandra Priest Rose and the late Fred Rose, John Loeb, Maurice Greenberg, Jack and Lewis Rudin, John Whitehead, Ken Dayton, Henry Kravis, Ronald and Leonard Lauder, Leon Levy, Alan C. Greenberg, Harold W. McGraw, Jr., John Huntsman, William E. Simon, Sandy Weill, Edith and Henry Everett, Thomas Watson, Jr., the late Richard Salomon, Artemis Joukowsky, the Gottesman family and Joseph J. Jacobs. (In 1996, Jacobs, founder of a global construction company, wrote an influential book about using conservative means to reach liberal goals in education, the environment and other areas. The book's title? *The Compassionate Conservative*.) And last, but not least, are the Chicago families of Crown and Pritzker.

Recently, this roster of philanthropy was joined by Claudia Coleman and William T. Coleman III, founder of BEA Systems (who gave \$250 million to the University of Colorado); Leonard Riggio, founder and chairman of Barnes & Noble, Inc. (\$25 million to the Dia Center for the Arts); Margaret McDermott, the widow of Texas Instruments' founder (\$32 million to the University of Texas at Dallas); John Kluge, Metromedia's founder (\$60 million to the Library of Congress); and Kenneth Behring, the real estate developer (\$80 million to the National Museum of American History).

Yet philanthropy in America is not only about big names and big fortunes, it is about individuals and their endless surprises.

There is Oseola McCarty, the 87-year-old laundress, who gave her life savings of \$150,000 to the University of Mississippi for scholarships. In 1995, she said, "I'm giving it away so the children won't have to work so hard, like I did." There is Karen Pittelman, a 25-year-old poet who recently used most of her \$3 million inheritance to start a Boston foundation that helps low-income women pull their lives together. At the time, she said, "Turning my inheritance into this foundation was the way I claimed my responsibility to this community." And there is Aubyn Burnside, who was 10 years old in 1995 when she learned that foster children tend to live nomadic lives, moving from one home to another, toting their belongings in black garbage bags. Six years after Aubyn's first collection drive for suitcases in North Carolina, her charity—called Suitcases for Kids—has chapters in every state and nine foreign countries. "I thought it was horrible that the children had nothing to carry their things in as they moved so many times," said Aubyn. "I wanted to make them feel special by giving them something of their own to keep."

Such beneficence often snowballs across the continent, as inspirational stories inspire Americans to get involved themselves. Generosity is even an organizing principle of the way we socialize, frequently combining fun and glamour with good deeds. Literally millions of benefits take place annually, and they range from school fairs to fund field trips to celebrity galas for AIDS charities.

Hollywood is better known for lending celebrity names to public causes than it is for celebrities' parting with their fortunes. But there are shining exceptions and the list is growing. Paul Newman, of course, created Newman's Own food label and has given away

the company's profits of more than \$100 million since 1982. Among the contributions Bill and Camille Cosby have made to educational institutions is a \$20 million gift to Spelman College. Steven Spielberg's generosity includes establishing the Righteous Persons Foundation, which has distributed \$37 million in profits from "Schindler's List" to promote and support Jewish causes and cultural and historic activities. Now, we are seeing the beginning of philanthropic giving by many other celebrities; among those who have established foundations, albeit on a much smaller scale, are Kirk Douglas, Richard Gere, Johnny Carson and Rosie O'Donnell. Hopefully, they are setting enduring examples.

The number of people establishing foundations has reached the point that the pros and cons of doing so are covered by magazines and newspapers in their year-end tax guides. ("In fact, private foundations can work well for families who want to donate assets of at least \$1 million for a foundation in their name with a specific charitable mission," *Forbes* magazine advised this year.) There is also a whole cottage industry of companies and nonprofits that have emerged to simplify the process.

Giving is so mainstream in America that even politicians are expected to be generous—and they are taken to task if their giving to charity and philanthropy represents an insignificant percentage of their incomes. Whether running for president or mayor, candidates' giving has become an indicator of character, publicly discussed and often ranked.

Businesses are also discovering that giving is good for business and public relations as well as good for making them part of the community of responsible citizens. Many companies have, of course, been generous for a very long time. In *Worth* magazine this year, Nelson W. Aldrich, Jr., wrote about trends in corporate

generosity. In the magazine's ranking, created jointly with the Council on Economic Priorities, the four most generous companies in 1998 were: 1) the Bank of America, which gave charities \$91 million in cash gifts and, among other things, gave its employees a day off to do volunteer work in communities around the world, 2) General Motors, with contributions totaling \$74 million, mostly in support of scholarship funds and educational programs, 3) Johnson & Johnson, which awarded \$67 million, largely to programs in minority neighborhoods, and 4) Philip Morris, giving away \$60 million, including substantial sums for anti-hunger campaigns. Aldrich noted that Philip Morris has been simultaneously spending about \$100 million a year to advertise its philanthropic work, but he concluded, "Regardless of the motive, the results still have value."

While more companies are giving, and their total giving has risen, their generosity has not kept pace with the growth of their profits. Their gifts climbed past 1 percent of pre-tax income in 1970, peaked at 2.3 percent in the early 1980s and then leveled off to the current rate of just over 1 percent, according to estimates by the Council for Aid to Education. In view of this decline, *Worth* magazine created another honor role that ranked companies by the proportion of income they gave to charity and philanthropy. Champion International, the paper and forest products company, was the top "profit sharer," giving \$8 million in gifts, or 6.6 percent of its average pretax earnings. Humana, the managed-care company, ranked second and Owens Corning, the building-materials manufacturer, ranked third. Remarkably, Owens had given more than a million dollars a year for three years, including two years when the company had losses.

While the business world is still trying to compute the costs and benefits of corporate



citizenship, the bottom line is looking good. As an analysis by *The Economist* magazine concluded in 1999: "Companies with an eye on their triple bottom line—economic, environmental and social—outperform their less fastidious peers on the stock market." Indeed, more and more companies are seeing profit in philanthropic principles, according to Rosabeth Moss Kanter, a professor of business administration at the Harvard Business School. In a 1999 *Harvard Business Review* article, entitled: "From Spare Change to Real Change: The Social Sector as Beta Site for Business Innovation," she wrote:

"Today, leading companies are beginning to find inspiration in an unexpected place: the social sector—in public schools, welfare-to-work programs and the inner city. These companies have discovered that social problems are economic problems, whether it is the need for a trained workforce or the search for new markets in neglected parts of cities. They have learned that applying their energies to solving the chronic problems of the social sector powerfully stimulates their own business development...Tackling social sector problems forces companies to stretch their capabilities to produce innovations that have business as well as community payoffs...This is not charity; it's R & D—a strategic business investment."

If philanthropy is good for the bottom line, so much the better for humankind. There are many indications that giving is becoming part of the business culture, further nationalizing American philanthropy. Many companies pay nonprofits for the right to use their name—like Johnson & Johnson's use of the World Wildlife Fund's logo—as a way to make their products more appealing to consumers. Cause-related marketing works, too, according to business studies that have found that most

consumers will switch to a brand that supports a good cause, if other things like price and quality are equal. Citibank is building its customer base in another innovative way: by generously funding a nonprofit organization that provides loans and financial advice to low-income people.

The shortage of skilled workers has also quickened corporate interest in education. As a result, middle-schoolers in Warren, Ohio, sharpen math skills by solving real-world engineering problems in a nationally recognized curriculum developed by General Motors. An executive from Verizon chairs the board of Delaware's top performing public high school, a charter school in Wilmington.

Some business executives have become exemplary leaders in school reform. Eli Broad, chairman of SunAmerica Inc., the financial services company, donated \$100 million in 1999 for a nationwide campaign to improve urban school management. Two other executives have each raised millions of dollars to improve schools, worked closely on national efforts to improve schools and written extensively on education. They are IBM's chairman and chief executive officer Louis V. Gerstner, Jr., and David T. Kearns, formerly chairman and chief executive officer of the Xerox Corporation and Deputy U.S. Secretary of Education in President George Bush's administration.

Gerstner gained insight into school reform when, as chairman and chief executive officer of RJR Nabisco in the early 1990s, he oversaw the corporate foundation's investment of \$30 million in improving 43 schools across the country. In 1994, he co-authored a book, *Reinventing Education: Entrepreneurship in America's Public Schools*, that makes the case that the core problem is that "schools as insti-



tutions have lacked the mechanism for self-renewal.” The RJR Nabisco Foundation was also an early investor in New American Schools, a nonprofit organization founded in 1991 by Kearns with, ultimately, more than \$140 million in corporate contributions. The nonprofit school reform organization has become a potent force behind the comprehensive school reform movement in nearly 10 percent of all public schools today. Kearns, now chairman emeritus of New American Schools has just co-authored his second book on school reform, entitled *A Legacy of Learning: Your Stake in Standards and New Kinds of Public Schools*. The book argues that standards are not sufficiently clear or high.

In the final analysis, though, what really makes American philanthropy triumphant is its grassroots nature. Whether rich or poor, most Americans participate in philanthropy by volunteering their time and money to causes ranging from highway litter patrols to Amnesty International. In 1998 alone, 56 percent of adults volunteered and 70 percent of households made contributions, according to a recent study by the Independent Sector. The voluntary effort that year translated into \$138 billion in individual gifts and nearly 20 billion hours of volunteer work. The United Way, alone, received more than \$3 billion in gifts that year for its member nonprofit organizations and countless millions of hours of volunteer work.

And, contrary to conventional wisdom about who makes the most sacrifice, the study revealed that low-income people donate a disproportionately larger percentage of their income than do the wealthy. Breaking down demographics still further, single women are more likely to give than single men, African Americans are more likely to give than whites and older Americans are more likely to give

than any other age group, according to a recent report by the Council of Economic Advisers.

As for young, hopefully budding philanthropists, a 1998 *New York Times*/CBS survey found that 58 percent of teenagers reported doing volunteer work in the prior year. On college applications and resumes, young people reflect the values of our culture by routinely including these volunteer experiences as evidence of their good character. In a similar vein, the Girl Scouts of the USA this year introduced a new honor patch—called “Strength and Sharing”—to recognize girls’ efforts in community philanthropy. In Michigan, public schools are introducing a curriculum for children in grades K–12 that teaches the powerful history and impact of philanthropy. In California, K–8 teachers in Santa Barbara can receive grants for programs and projects that instill the ethic of service and philanthropy. The new program, supported by the Santa Barbara Foundation, was recently launched with a preview of the film, *Pay It Forward*, starring Kevin Spacey, Helen Hunt and Harley Joel Osment. The school program and the film’s plot have much in common: in both, children are urged to dream up philanthropic projects to improve their communities.

With all these manifestations of generosity, it is not surprising that philanthropy and charity are now at record-breaking levels. According to estimates published in *Giving USA*, the total amount of giving from all sources in 1998 was \$174.5 billion. That included about \$9 billion from corporations and corporate foundations, nearly \$14 billion from bequests, about \$17 billion from independent and community foundations and the remainder from individual gifts. Overall, there was an 11 percent increase, and it was the third year in a row with a double-digit

increase. In 1998, nearly 44 percent of all this giving went to religious institutions for sacramental purposes, charity and education.

Philanthropy's support for the nonprofit sector has strengthened as foundations themselves have grown stronger. *Giving USA* reports that foundation expenditures increased by nearly 250 percent, after adjusting for inflation, between 1975 and 1998, and this far outpaced the growth in giving from other private sources. The increase reflects a boom in new foundations: About 1,000 new foundations are created every year, adding to the 54,000 private foundations that already operate in the United States. In addition, gifts have flooded into the new charitable trust funds managed by Wall Street firms during the last decade. Fidelity, alone, manages over \$2.3 billion for 22,000 donors, making it the nation's 10th largest charity.

The societal benefits of all this philanthropy are beyond measure—and statistics, while impressive, can only give hints. American gen-

*The societal benefits of all this philanthropy are beyond measure... American generosity toward higher education, for example, is unrivaled in the world.*

erosity toward higher education, for example, is unrivaled in the world. In 1999, college and university endowments exceeded \$195 billion, according to a study conducted by the National Association of College and University Business Officers of 503 major public and private institutions of higher education. Philanthropy also provides significant support to the nation's nonprofit sector, which includes approximately:

- 1,500 international human rights and relief organizations
- 4,400 environmental organizations
- 17,000 arts and culture organizations – including 2,000 museums
- 23,500 education institutions
- 28,000 health organizations, including 3,200 hospitals
- 55,000 human service organizations

All told, there are about 1.4 million nonprofit organizations, not including religious institutions. This sector provides a significant share of the nation's low-income housing, a substantial amount of its higher education and research institutions and a critical component of K–12 education, as well. Our nonprofits provide half of the nation's health care, most of its human services and almost all of the arts. Nonprofits address the needs of under-served and disadvantaged populations by providing billions of dollars in services and programs. This sector tackles complex social problems that other sectors are either unwilling or unable to address. In all of these areas, philanthropies help nonprofit organizations develop innovative programs. It has been said that philanthropies and their nonprofit partners are the research and development arm of our society.

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## New Philanthropies, New Perspectives

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Here, at the turn of the century, America has witnessed unprecedented prosperity. In 1999, there were an estimated 7.2 million millionaires, more than double the number five years earlier. In 2000, American households held more than \$50 trillion in assets, up from just



over \$30 trillion in 1990 and \$20 trillion in 1980, according to Hudson Institute estimates.

With this instant wealth, we have witnessed growing demand for instant philanthropy, as well. We live in an impatient culture that celebrates fads, quick fixes and instant fame. This instant culture is at odds with a world where there are so many chronic needs and entrenched problems. There are, of course, many pressing concerns that can be addressed immediately. But we need to differentiate between problems—minor or major, simple or complex, temporary or enduring, actual or potential—and use different strategies to deal with them all. Philanthropies must not fall prey to demands for instant solutions, hurriedly “solving” problems and moving on.

Difficult problems, by definition, resist quick and easy solutions. Searching for cures for cancer, trying to reduce racism or deterring ethnic violence abroad are the kinds of problems that require long-term, patient attention, multiple approaches and risk taking that may result in failure. As urgent as such problems are, we must be patient because progress is not always readily measured. Philanthropies have to make long-term investments in the creation of knowledge, both theoretical and applied. Our impatient society might like to skip the “theoretical stuff,” but theory often precedes practical knowledge. And big ideas generally evolve from small ideas, and small ideas, from smaller ones, still. So there really is no such thing as useless knowledge, as the legendary educator Abraham Flexner argued in his essay, appropriately entitled, “The Usefulness of Useless Knowledge.”

Foundations are in the business of investing in social capital; hence, the necessity of taking risks. Therefore, we must be fearless about risks, even failure. Unanticipated failure is often to

be expected as an inevitable part of the discovery process, part of learning what not to do again and, thus, part of making progress. In his instructions to trustees almost a century ago, Carnegie exhorted them to be iconoclastic: “Remember you are pioneers, and do not be afraid of making mistakes; those who never make mistakes never make anything. Try many things freely, but discard just as freely.”

In this discovery process, philanthropies must often invest in countless efforts, experiments and model programs before anything can be attempted on a larger scale. In 1959, John Gardner, a former president of Carnegie Corporation, described the often torturous path the search for knowledge takes: “The bright new idea may prove to have more novelty than validity; the ‘pioneering’ venture may bog down; the research program may yield negative results, but foundations which engage in support of such efforts must be prepared to take these chances. It is in this sense that they regard their funds as ‘venture capital.’”

Today, some newcomers to philanthropy actually come from venture capital firms and are applying their business acumen to what they call venture philanthropy. Although new to philanthropy, they are following in the footsteps of Carnegie, Rockefeller, Ford and Morgan, who also infused their philanthropic enterprises with the expertise, energy and imagination that served them so well in business.

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*Venture philanthropy brings  
a welcome new set of strategies  
to grantmaking.*

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Venture philanthropy brings a welcome new set of strategies to grantmaking. Unlike



traditional philanthropies, which make grants to a great many capable organizations with promising proposals, the new philanthropists work intensely with relatively few nonprofit organizations. Traditional foundations fund projects and give free rein to the experts to develop their ideas independently; new foundations often join the boards of directors and may provide day-to-day financial and management support. And while established foundations commonly invest in creating knowledge that may not pay dividends for years or even decades, venture philanthropies tend to restrict their investments to worthy causes with outcomes that can be readily measured.

One of the pioneers in venture philanthropy is the Roberts Foundation, which was established by the leveraged-buyout expert George R. Roberts and his wife Leanne in 1986. A recent profile of the foundation in *The New York Times* described some of the innovative business practices the foundation uses to stretch the value of each philanthropic dollar. In one program, the foundation has helped develop 23 nonprofit businesses that employ people who are homeless, have mental illnesses, or are recovering drug addicts. To determine which philanthropic investments are the most promising, Jed Emerson, a program officer with an M.B.A., analyzes each organization's financial information, social service results and participants' responses on questionnaires. From this analysis comes a bottom line number, called the "social return on investment," that can add efficiency to the foundation's management and investment activities. Emerson told the *Times* that the management model might take a decade to refine, and distanced himself from overblown rhetoric about venture philanthropy: "We're certainly not saying this is God's gift to philanthropy."

As Emerson's comment suggests, some of

the excitement surrounding venture philanthropy has boiled over, creating unrealistic expectations for it and setting up a false competition between "new" and "old" philanthropies. But in philanthropy, as in all fields, solutions of one size do not fit all problems. At the same time, both new and old philanthropies have much to learn from each other. Rather than allowing themselves to be pushed into a competition, they should initiate cooperative and collaborative relationships. Such interplay encourages renewal in all institutions and prevents them from becoming ossified—today's new philanthropy, after all, is tomorrow's old establishment. Philanthropies, new and old, have an obligation to share information about where they have succeeded and where they have failed so others can avoid waste and invest more wisely.

Speaking of "old philanthropy" as though it were a monolithic enterprise is, of course, simplistic. American philanthropy's strength, after all, does not lie in its uniformity, but in its diversity. This diversity has regional, ethnic, racial and gender components. Philanthropies approach causes galore, and see problems from many different perspectives, ideologies, methodologies and strategies. Such differences are necessary and healthy, especially since they all reach for the same goals: namely, they all want to advance knowledge, promote understanding and improve the human condition. They all want results, short term or long term. They all want to make a difference. They all believe in accountability. They all believe in revitalizing their communities, engaging their communities, and participating in their communities' future. All of this strengthens our democracy.

As Robert Louis Stevenson wrote, "Don't judge each day by the harvest you reap, but by the seeds you plant."

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## Challenges and Responsibilities

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Having served at the helm of four nonprofit organizations, I have seen the impact of American philanthropy from many angles. I am awed by its scope, its range and its depth. But I am also cognizant of the challenges and responsibilities it faces, and I would like to mention two of them in closing.

As Andrew Carnegie saw himself as a trustee of public wealth, I see foundations as stewards of public trusts. After all, philanthropies have historical, legal and moral obligations to society as well as to their founders. They are entrusted with the administration of considerable wealth—totaling some \$385 billion in 1999. This wealth was given to them for specific purposes and time periods. That means they must remain faithful to their missions and be as open as possible in their work. Or, as a former Carnegie Corporation trustee put it, philanthropies “should have glass pockets.” That is necessary because donors enjoy favorable tax policies, and philanthropies enjoy tax exemptions, thanks to the unique American compact between public and private sectors. This compact is very strong, but it cannot be taken for granted. It is based on philanthropies’ performance in carrying out their responsibilities.

Philanthropies bear heavy societal responsibilities by virtue of their wealth, their central role in our civil society and their power to help or, unintentionally, to harm. They have a moral responsibility to see that this power is used openly, wisely and responsibly in upholding society’s values rather than subverting them. Philanthropies’ responsibilities will increase in the coming years as their wealth

increases. It is estimated that as much as \$2.7 trillion more will be entrusted to the nonprofit sector in general, and philanthropies in particular, during the next twenty years when about \$18 trillion will pass from one generation to the next.

In recent years, estate tax regulations have encouraged this transfer of money to transfer again: from the heirs of those who create the wealth to the public arena where nonprofit organizations and foundations have nurtured and created opportunities in the social, cultural, scientific, medical, artistic and intellectual lives of communities across the nation. Though Americans have never needed tax incentives alone to cultivate their philanthropic yearnings, public policy has had a direct impact on the growth of the civil sector. Tax regulations have served as incentives by encouraging those of great wealth to establish family foundations, donate money to projects that address great public needs and support local and national institutions central to the educational and cultural soul of America.

When Andrew Carnegie published *The Gospel of Wealth*, there was a major national and even international debate about wealth and inheritance and the impact of these on society’s welfare. Some 100 years later, I’m delighted that once again the nation is discussing the same issues openly and honestly. Such a debate can help to dispel the public cynicism that people of wealth are self centered and concerned only with their own welfare.

One hopes, no matter what the outcome of the current debate, that our public officials will act in the context of a full understanding of a rich tradition of American philanthropy and its benevolent impact on our society. One equally hopes that centuries of American phi-



lanthropy will continue to serve as a guide and inspiration to our current and future generations of benefactors and elected representatives.

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## Our International Role

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A final concern is a global one. We cannot remain an island of prosperity in the ocean of scarcity. We live in an interdependent world with more than 6 billion people and we share global obligations. According to World Bank estimates, 1.2 billion people live on less than \$1 a day and an equal number do not have access to clean water; 3 billion people do not have access to sanitation or adequate housing, and 4.2 billion people cannot read. Less than 1 percent go to college. It is also evident that

*A final concern is a global one.*

*We cannot remain an island of prosperity in the ocean of scarcity.*

epidemics do not recognize frontiers. Neither does poverty, nor repression, nor natural disaster. Sooner or later, they become political issues, reaching all of us. We cannot live in “splendid isolation.”

The fact is, Americans never really have. As a land of immigrants, the United States has had close ties to other countries and newcomers have customarily sent portions of their paychecks home to help families and communities. Citizens’ charity and philanthropy have always had an international component, as well. In the 1820s, for example, Americans held charity balls, auctions and fairs to support Greek independence. In 1846, the citizens of Massachusetts sent six ships laden with food to help relieve the Irish famine.

Andrew Carnegie was also a pioneer in international philanthropy. He made his first gift in 1873: \$25,000 for “swimming baths” for his Scottish birthplace, Dunfermline. In later years, Carnegie strengthened Scottish universities and supported community organizations throughout Britain. To bring more “sweetness and light” into the world, he sent 7,634 organs to churches in 13 countries, including some in Africa and the British West Indies. His grants supported Madame Curie’s medical research on radium in Paris and Robert Koch’s studies about tuberculosis in Berlin. His greatest international concern, of course, was peace. In addition to promoting international peacekeeping organizations and endowing four foundations to work indefinitely toward peace, he built three “temples of peace,” as he called them. They are the Peace Palace at The Hague, in the Netherlands, the Central American Court of Justice in San Jose, Costa Rica, and the Pan American Union Building in Washington, D.C., built to encourage “the union of all the republics in this hemisphere.” The Pan American Union subsequently became the Organization of American States.

America was his base, but the world was his range. If I may paraphrase the saying, “think globally and act locally,” Carnegie thought globally and acted locally, and he also thought locally and acted globally.

Throughout our history, in times of war and national disasters, Americans have risen to the occasion, not confining their charity to our land alone but to the world at large. During and after World War I, for example, an American organization called Near East Relief fed, clothed, housed and provided medical care for some 12 million refugees, including Armenians, Assyrians, Greeks, Kurds and



Turks. In its charitable and philanthropic work, the foundation became a prototype for the Peace Corps. Today, we also have CARE, Catholic Charities, the U.S. Fund for UNICEF, Human Rights Watch, Amnesty International, International Rescue Committee and scores of other organizations that are conduits of American generosity to the rest of the world.

Commerce, technology, media and immigration are increasingly opening our eyes and hearts to the needs of other peoples, and America is well on its way to becoming a truly global nation, and a globally philanthropic one, as well. This is natural, because as decent, moral and spiritual beings, we have an obligation, whenever possible, to assist our fellow human beings and help them claim their autonomy and preserve their dignity. And while our tradition in international giving has been strong, it cannot but strengthen still more, for needs grow exponentially.

In this regard, philanthropists like Bill Gates, George Soros and Ted Turner are providing new models for others to combine national commitments and international commitments—much in the way Andrew Carnegie did a century ago. For like Carnegie, they have global concerns about preventing disease, promoting peace, eliminating injustices and providing education and learning. So, as we celebrate the centennial of Andrew Carnegie's philanthropy, I'd like to take the occasion to remind us all that while charity begins at home, it does not stay at home.

In surveying American philanthropy I am reminded of two biblical injunctions: to whom much is given, much is expected; and another, favored by Saint Francis of Assisi, that it is in the giving that we receive. After all, altruism is

a form of social cement for communities, locally, nationally and globally, and it doesn't matter whether the giving is in the form of charity or philanthropy. One cannot but witness how philanthropy ennobles us, brings out our best nature and allows us to transcend the limits of space, time, class, race, ethnicity and gender to become part of the larger community and of humankind. Philanthropy marks our

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place in history and, hence, ties us to the future. It saves us from becoming captives of a self-serving present. And let us not forget there is a joy in giving. As Victor Hugo once wrote, "As the purse is emptied, the heart is filled."





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## Supporting New Ideas and New Leaders: Advancing and Diffusing Knowledge in 2000

*by Neil R. Grabois, vice president and director for strategic planning and program coordination*

**Andrew Carnegie, a founder of modern philanthropy, chose one of mankind's greatest evils as his adversary: ignorance, which impedes all progress and peace.** He invested much of his fortune in Carnegie Corporation for one overarching purpose: the endless search for and spread of wisdom. Trustees, officers and staff use this lofty mandate to set the foundation's compass and reset it, as needed.

Under Vartan Gregorian, who became president in June 1997 and oversaw a top-to-bottom review of the foundation's work, the compass has now been reset, and the foundation's course has changed subtly but substantively. The Corporation is refocusing its resources on the core mission, the development of ideas. In fiscal 2000, which ran from September 30, 1999, to October 1, 2000, the change resulted in some final grants for initiatives begun years ago; long-time partners were invited to seek support for new ideas in keeping with the foundation's restated mission.

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### Education and Leadership

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In fiscal 2000 the foundation followed its mandate to "promote the advancement and

diffusion of knowledge" in a great many ways, as indicated by the long list of grants that follows this introduction. If the foundation were to give the year's work a thematic name, though, it might be "nurturing leadership."



This was an implicit theme in all of the Corporation's education programs, as well as being a stated objective for initiatives in Africa, the former Soviet Union and the United States.

Nurturing America's future leaders is a major role of our public schools. "Perhaps the greatest idea that America has given the world is the idea of education for all Americans," wrote Robert M. Hutchins, the prominent educator and former president of the University of Chicago. Unfortunately, the great idea remains a promise for many Americans. Not all children receive an education that adequately prepares them for college or the job market. This situation darkens the future not only for these disadvantaged children but for our whole society, as the nation's most important resource is the knowledge and skills of our citizens, as noted by Gary Becker, the Nobel Laureate in economics. As he put it, we have entered an "age of human capital."

In helping the nation fulfill its education promise to all children, the Corporation launched an ambitious high school reform initiative in 10 cities with school districts and their community partners. The 10 cities were chosen for the initiative, called *Schools for a New Society*, after a rigorous invitational competition that involved 21 school districts at the start. Comprehensive plans to revitalize high schools in the districts will be completed in 2001; five districts will then be selected to implement reforms over a five-year period.

The initiative is based on the belief that districtwide change, while daunting, is possible and promises to yield better and faster results than making reforms on a school-by-school basis. Since broad community involvement and support are critical to school reforms, the initiative promotes working partnerships between families, teachers, principals, state and

local education officials, and leaders in community organizations, higher education, business and politics.

Collaborating with many individuals and institutions reflects a new foundation strategy to maximize impact. The Corporation, for example, has joined a multi-institution working group to reinvent training programs for principals. On another front, Carnegie and the Pew Charitable Trusts helped create a Task Force on the future of Urban School Districts at the Annenberg Institute for School Reform at Brown University. Sadly, we regret the passing of Thomas G. Labrecque, who had served as the Task Force's chairman.

Educating future leaders, at first glance, might not seem to be much of an issue at institutions of higher education in the United States, which is said to have about three-quarters of the world's best universities. But there are two trends of particular concern in higher education: 1) too many college students—about 30 percent—take remedial courses to make up for lapses in high school, and 2) too many students—nearly 60 percent—are engaged in vocational and preprofessional studies. While such specialized training prepares students for immediate job openings, it does not provide the academic foundation that helps individuals succeed as they move from job to job and even change careers. Society also loses because this type of technical training does not prepare young people for becoming informed citizens with well-rounded educations. With little notice or public debate, these overlapping trends are eroding the nation's strong tradition for liberal arts learning, a tradition considered essential to the success of democracy since ancient Greece conceived both ideas. A liberal education, in essence, places knowledge within a context of values.

This liberal learning is credited with nurturing the pragmatic, problem-solving, and adaptive qualities of character that are considered quintessentially American.

The Corporation has really just begun to examine the scope of the problem and possible remedies with other like-minded institutions. The Association of American Colleges and Universities, for example, received a \$1 million Carnegie grant to support its work with colleges and universities that are reforming liberal arts curricula. The association plans to clarify the merits and goals of a liberal education, beat the drum for universities to make changes and promote models for carrying out reforms.

Education also played a starring role in the Corporation's election-year efforts at improving political leadership through electoral reform and voter education. The importance of the foundation's efforts in this area was driven home by the presidential campaign, which included complex policy proposals, record-breaking campaign spending, negative advertising and an extraordinary photo-finish climax that demonstrated the value of every single vote.

During the campaign, the Corporation supported the expansion of grantees' educational services on several web sites. The Internet came into its own during this election as a highly efficient and popular way to provide voters with unbiased information about issues and candidates. Voters only had to type in their zip codes at the Democracy Network site ([www.dnet.org](http://www.dnet.org) and its successor [www.grass-roots.com](http://www.grass-roots.com)) to access impartial information about national, state and local candidates that the League of Women Voters prepared. The web site encouraged candidates to post their positions and rebut opponents' statements, and the site also permitted voters to question candidates via email. Project Vote Smart

([www.vote-smart.org](http://www.vote-smart.org)) offered candidate biographies, voting records, campaign finance information and a variety of performance evaluations. Public Agenda ([www.publicagenda.org](http://www.publicagenda.org)) offered voters—and voters-to-be, in high schools—nonpartisan briefings on major campaign issues. Youth Vote 2000 ([www.youthvote2000.org](http://www.youthvote2000.org)) used its web site as an organizing tool in engaging young people in politics and as a service for them; it had hyperlinks to such things as voter registration forms and absentee ballots.

The Internet, though, has not yet caught up with television as America's preferred source for news. Unfortunately, substantive coverage of campaign issues has declined as stations, locked into competition over viewership ratings, focus on the horse-race aspects of campaigns. Working to reverse that trend, the Alliance for Better Campaigns, with foundation support, waged an intense effort to have TV stations provide an additional five minutes of air time per night for candidates to discuss issues in the month before Election Day. By early fall, the effort was bearing fruit, as 93 stations—reaching 60 percent of the nation's population—agreed to carry nightly forums.

During the election year, the Corporation continued to place major emphasis on reducing public cynicism about politics by promoting reforms in the way campaign finances are disclosed, made public and regulated. To stimulate public discussion about the most effective approaches, the foundation supported a wide range of nonprofit organizations working on state and local finance issues. The foundation supported research and analysis of state campaign contributions and expenditures as well as the development of model campaign finance laws, which will give policymakers and public officials a range of possibilities for reform. In



this arena, an important focus has been on so-called “clean money/clean elections” campaign finance laws that are under consideration by many states and have been enacted by a few, including Arizona, Massachusetts, Maine and Vermont. The goals of these efforts include strengthening and protecting the new laws and ensuring a smooth and successful transition to the era of campaign finance reform. The foundation also supported a program to train state and local journalists in the complexities of following political contributions as they flow through the system. An additional concern has been to encourage civic participation among young people in the United States, particularly in the election process. The Corporation, therefore, funded a number of youth-oriented “get-out-the-vote” projects aimed at diverse community of young Americans.

#### NURTURING LEADERSHIP ABROAD

In the former Soviet Union, the Corporation’s work in promoting peace and security focused on such critical issues as the nonproliferation of weapons of mass destruction and self-determination struggles that sometimes result in violent conflicts. But as this volatile region lurches toward democracy and capitalism, the foundation also realized that prospects for peace could be enhanced through strengthening “human capital” in the region. Part of that mission necessarily includes educating a new generation of leaders in the humanities and social sciences, and that was the goal of a major new initiative announced in 2000.

The initiative, called Higher Education in the former Soviet Union, aims to help restore Russia’s intelligentsia, the country’s engine of reform, and nurture a new generation of scholars and leaders in the post-Soviet Union states. The program is designed to reinvigorate the study of social sciences and humanities, which

was long neglected under Communism. Many intellectual and political leaders in the region have called for such a renewal as a way to enlighten the nation’s political culture and educate the region’s future leaders. As Gregorian

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*“Many scholars see an urgent need to find cultural expressions of national identity that affirm rather than repress diversity and that go beyond old ideologies and dogmas.”*

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observed, “Many scholars see an urgent need to find cultural expressions of national identity that affirm rather than repress diversity and that go beyond old ideologies and dogmas.”

Carnegie staff members collaborated with their counterparts at the John D. and Catherine T. MacArthur Foundation on this initiative, and the Russian Government also pledged significant support. The work has taken two paths: first, the establishment of six to eight Centers for Advanced Study and Education (CASEs), designed to become centers of excellence in the social sciences and humanities; and second, support for other programs that strengthen the region’s academic community. The CASEs, to be established at major Russian universities, will offer research fellowships, travel grants and linkages with Western universities and libraries of English- and Russian-language publications. During the year 12 universities were asked to submit proposals to host CASEs. Preliminary grants were awarded to support three. More CASEs will be established in fiscal 2001.

To bolster this work in developing a new generation of scholars, the Corporation sup-

ported a few select opportunities to encourage the collaboration of young American scholars with their counterparts in Russia. The focus of this strategy was a grant to the University of California at Berkeley's Program in Soviet and Post-Soviet Studies to support the work of graduate students. The program offers fellowships, research opportunities and study with visiting faculty from the post-Soviet states.

In Africa, the Corporation also sought to strengthen the education of the next generation of leaders, especially in fields needed for

*In Africa, the Corporation also sought to strengthen the education of the next generation of leaders, especially in fields needed for the development of the region.*

the development of the region. For this project, Corporation staff forged working relationships with the MacArthur, Ford and Rockefeller foundations to work as equal partners with African universities and academic associations. In this initiative, called the Partnership to Strengthen African Universities, the four foundations plan to invest more than \$100 million over five years on strengthening individual universities and fostering such things as continent-wide learning networks. Kofi Annan, Secretary-General of the United Nations, attended a ceremony announcing the new partnership. "I'm excited about this initiative because higher education is important in our global age," said Annan, a native of Ghana who earned his B.A. from Macalester College and his M.B.A. from the Massachusetts Institute of Technology. "Higher education is central to development, human progress and freedom."

Andrew Siwela, president of Association of African Universities, also attended the ceremony and alluded to the problems faced in higher education. Many universities fell on hard times, if not into complete disarray, during economic crises, civil wars, coups and disastrous leadership such as Idi Amin's reign of terror during the 1970s in Uganda. Yet there has been progress. "Many African universities have risen to this challenge by initiating revitalization programs," he said. "But, in this context, the role of international support for African universities is of paramount importance."

In 2000, the funding partners made grants for African institutions to plan and start improvements. Educators at Makerere University in Uganda, for example, are rethinking the university, from its financing to its basic functioning, and are in the process of expanding degree programs in fields like nursing and business administration. Makerere, a university on the verge of collapse just five years ago, is now setting an example of renewal for the rest of the continent. "Strong African universities can play a role in protecting basic freedoms, enhancing intellectual life and informing policy making," said Susan V. Berresford, Ford's president. "This is clearly the right moment to have a 'bias for hope' and to increase support for their leaders."

## The Programs Take Shape

During the fiscal year, the foundation awarded 265 grants and eight appropriations for projects administered by the officers, totaling \$60,125,849. The major program areas were Education, International Peace and Security, International Development, Democracy and Special Projects. The Corporation continues to deal with the tension inherent in maintaining a focused program agenda while at the same time being



open, in our fields of interest, to those ideas and opportunities that are presented to us. It is our belief that what Andrew Carnegie called “scientific philanthropy”—carefully planned, or strategic, grantmaking—will continue to make the most of our investments and produce favorable results over time.

The foundation also resumed its historic support for individual scholarship by launching a new program, called Carnegie Scholars. This program supports research, which is focused on public policy issues in areas of interest to the foundation. In announcing the scholarships, Gregorian said: “We believe individual scholarship is an important asset in our democratic process where new policy solutions must be supported by credible research and analysis. At Carnegie we are interested in theory, practice and outcomes.”

Outlined below is each program’s focus and strategy for influencing social change. Grants, listed subsequently, represent the tactical implementation of these strategies in fiscal 2000.

#### EDUCATION

The foundation’s commitment to education has found different expression at different times, and it has included building libraries, expanding higher education and adult education, promoting educational television, helping women and minorities gain access to nontraditional fields and recognizing the importance of the early childhood years for learning. Today it’s clear that education has never been more important for solving personal, economic, civic, social and global challenges. In this age of the knowledge worker, it’s also clear that *all* children must have access to good schools and some form of higher education. With this in mind, the foundation’s focus during the year was on three areas: early childhood education and care, urban school reform and higher

education. The program’s strategic goals were:

- Promote the expansion of learning opportunities to assure that all children enter school ready to learn.
- Improve the transition from preschool to grade school to assure the mastery of essential skills.
- Accelerate school reform by encouraging districtwide improvements, training principals and improving after-school programs.
- Reform the preparation of teachers.
- Promote a re-examination of the liberal arts.

#### INTERNATIONAL DEVELOPMENT

African countries are in the midst of massive political and economic transitions—from authoritarian to democratic regimes and state-dominated to free-market economies—and the attendant shifting of social values and practices. The foundation is focusing its support on libraries and universities, the institutions that play critically important roles helping people manage social change and progress. In addition to helping strengthen these institutions, the program is giving special attention to the enhancement of opportunities for African women, who are often shut out of participating in higher education. Apart from the need for gender equity, considerable research has linked women’s educational achievement to greatly improved social and economic outcomes for both families and nations. Over the next five years, the foundation and its partners are working to have model programs in place that can be evaluated and replicated. In keeping with the Corporation’s geographic mandate, the program focuses on sub-Saharan African countries that were members of British Commonwealth in 1948.

Each of the program’s initiatives is developing in three planned stages:

- A diagnostic phase, to synthesize existing knowledge, assess institutional strengths and identify grantmaking opportunities.
- An intervention phase, organized with African and donor partners, to support a few selected institutions that have the ability to make significant reforms.
- A replication phase, again with African and donor partners, to encourage other institutions to adopt successful models of reform.

The status of each initiative varies within countries. Some participants completed diagnostic research in fiscal 2000 and moved on to the intervention phase, while other nations were just starting the diagnostic work at the start of fiscal 2001.

#### INTERNATIONAL PEACE AND SECURITY

The end of the Cold War pushed the famous “doomsday clock” back from the brink of nuclear midnight. But the collapse of the Soviet Union left the world more unstable—uncorking ethnic tensions in countless civil wars and threatening mass destruction from a proliferation of weapons of mass destruction. India and Pakistan, bitter adversaries, recently joined the “atomic bomb club.” Chemical and biological weapons, materials and know-how are more available now than at any other time in history. Added to these worldwide dangers is the precarious state of Russia, which is experiencing an interlocking series of crises: economic, political, military and social. It is the foundation’s firm belief that the outcome of events in Russia will fundamentally affect the world’s future.

Like all prior foundation efforts in promoting peace, this program has one central goal: to identify some of the gravest threats to global security and seek ways to address them. In fiscal 2000, the program had three principle areas of focus:

- To advance the cause of nonproliferation of weapons of mass destruction, the program supported many projects, including scholarship on international security issues, multidisciplinary efforts to halt proliferation of these weapons, new channels of communication to foster bilateral cooperation and the security and disarming of nuclear weapons.
- To strengthen relations between the United States, Russia and other post-Soviet Union states, the program continues to support initiatives that seek to clarify Russia’s complexity and provide opportunities for reasoned dialogues. With support for research, training a new generation of scholars and high-level policy dialogues, the initiative is designed to provide sound analysis on Russia for policymakers both in Russia and the United States.
- Building on the work of the former Carnegie Commission on Preventing Deadly Conflict, the foundation began developing a program focus on new and emerging security threats. Research will address such concerns as ethnic self-determination struggles and the sanctity of international borders, competition over scarce resources like water and the reconstruction of war-torn societies.

#### DEMOCRACY

Historically, the foundation has devoted a substantial share of its resources toward improving the effectiveness of government at all levels; increasing public understanding of major social policies; equalizing opportunities for members of disadvantaged minorities and women, and encouraging the public’s active participation in political and civic life. These issues provided a broad context for the Democracy program, which, during the year, made grants to address related challenges. Political apathy and cynicism are widespread, and as civic participation declines we are in



danger of becoming a spectator democracy. Religious, ethnic, racial and intergenerational tensions divide society, even as immigration and diversity increase rapidly. Another wedge issue for society is the wide and hardening gap between lower- and higher-income families. This income gap precludes the American dream and impedes the upward mobility that keeps our society healthy. In light of these concerns, the Democracy program has focused on three areas:

- Electoral reform is needed because a primary source of citizen cynicism and apathy is the perceived abuses of campaign finance and campaign practices, such as negative advertising. The foundation's response has been to support research on campaign contributions and expenditures, the development of model campaign finance laws, and training for journalists to help them understand the often secretive way money flows through the political system during the election year.
- Intergroup relations need more scrutiny and strategies for improvement than ever before. The foundation searches for effective ways to foster public discussion about race, ethnicity, religion, and the social and economic implications of an aging society.
- The income gap poses troubling implications for the health of American democracy, especially in its ability to renew itself up from the bottom rung of the socio-economic ladder. To develop a coordinated program in this area, the Corporation is working with the Russell Sage Foundation. It is one of the nation's oldest operating foundations and specializes in social science research.

#### SPECIAL PROJECTS

Since 1983 this program has focused on strengthening American democratic institu-

tions and nonprofit organizations. The program also supports other initiatives that fall outside the foundation's major program areas or cut across them. As such, the program gives the foundation the ability to integrate continuity and change into its grantmaking. In the future, the foundation expects to explore new themes in this program area and use it to consolidate Corporation efforts to strengthen civic participation and democratic processes.

#### CARNEGIE SCHOLARS

The Corporation has historically supported research projects on issues central to its mission. These projects have been based almost entirely at universities and other institutions since 1969, when the foundation discontinued support for individual scholarship. In fiscal 2000, the Corporation resumed grants to individual scholars, with the aim of supporting fundamental research, by both young and established experts, that promises to contribute significantly to the advancement of knowledge in the Corporation's fields of interest.

Up to twenty fellowships, lasting for one or two years, will be awarded annually; the maximum grant is set at \$100,000. The Corporation's first group of 12 Carnegie Scholars is exploring issues critical to education reform, campaign finance, widening global income gaps, conflict resolution among new nations and international organizations, African women and Islam, and the political questions facing the former Soviet Union.

## Early Childhood Education and Care

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY.*

TECHNICAL ASSISTANCE TO THE STARTING POINTS STATE AND COMMUNITY PARTNERSHIPS FOR YOUNG CHILDREN. APPROPRIATION ADMINISTERED BY THE OFFICERS OF THE CORPORATION. ONE YEAR, \$654,585.

The Starting Points State and Community Partnerships for Young Children, a program of grants to seven states and four cities, was established in 1996 to plan and implement the reforms called for by the Corporation's 1994 report, *Starting Points*. The initiative is designed to stimulate the development of programs and policies that benefit families with young children, especially disadvantaged children, and to educate policymakers, parents and the public about the importance of the first few years of life in shaping children's healthy growth and development. The grants, matched or exceeded by private sector and government funds, are aimed at improving the quality and expanding the availability of child care, prenatal and children's health care and family support programs.

The Corporation has contracted with the Finance Project in Washington, D.C. to coordinate technical assistance to the grantees, assist in strategic planning, hold annual conferences and manage the initiative's day-to-day operations and communications. The project is now collaborating with other organizations to disseminate and replicate model programs and policies developed by the grantees. To sustain national attention to the needs of young children, Corporation staff members manage a related program of grants to policy, business and research groups, and disseminate information about the initiative to business and foundation leaders, governors and state legislators.

*Michael H. Levine, Deputy Chair and Senior Program Officer. [www.carnegie.org](http://www.carnegie.org)*

COMMITTEE FOR ECONOMIC DEVELOPMENT,  
*New York, NY.*

RESEARCH AND PUBLICATIONS ON EARLY CHILDHOOD AND EDUCATION FINANCING. TWO YEARS, \$228,000.

The Committee for Economic Development is an independent research and policy analysis organization of business executives and education leaders that publishes influential reports on child development and school reform. With this grant, the Committee is working with a team of economists, management specialists, political scientists and child development experts to examine practical options for financing and managing a high-quality national preschool initiative. The committee will produce technical assistance materials and disseminate findings in collaboration with the National Governors' Association, which has identified states where governors and business leaders are committed to making first-rate early childhood education available to all working families.

*Charles E. M. Kolb, President. [www.ced.org](http://www.ced.org)*

COMMUNICATIONS CONSORTIUM MEDIA CENTER,  
*Washington, DC.*

MEDIA STRATEGIES TO IMPROVE STATE AND NATIONAL EARLY CHILDHOOD EDUCATION POLICY.  
TWO YEARS, \$400,000.

To build public support for investing in quality early childhood education, the Communications Consortium Media Center, a nonprofit public interest organization, is convening the Early Care Media Strategies Collaborative. The collaborative, an alliance of national and state policy research and advocacy organizations, is designing campaigns to stimulate parent demand for quality programs and enhance promising policy reforms in Colorado, New Jersey, Florida and Illinois, four geographically, ethnically and politically diverse states that are developing model early childhood education programs. Members of the collaborative are studying public opinion, providing technical assistance to state-based children's advocacy



organizations on strategic communications and media outreach techniques and developing policy options to expand quality early childhood education.

*Phil Sparks, Vice President. [www.ccmc.org](http://www.ccmc.org)*

HARVARD UNIVERSITY, *Cambridge, MA.*

PROFESSIONAL DEVELOPMENT INITIATIVE TO STRENGTHEN THE TEACHING OF READING IN PRESCHOOLS AND ELEMENTARY SCHOOLS.

TWO YEARS, \$900,000.

Learning to read, write and compute well in preschool and the early grades is essential in laying the foundation for long-term success in school. In order to improve early childhood literacy instruction, two national authorities on teacher preparation and effective literacy programs—Catherine Snow of Harvard University and Dorothy Strickland of Rutgers University—will cochair an initiative designed to prepare and disseminate new professional standards for early literacy instruction, prekindergarten through grade four. In a collaboration with the Center for Applied Linguistics, the project will also develop materials for teachers working with children whose primary language is not English, to be disseminated in collaboration with leading professional associations and teacher education groups, as well as through the U.S. Department of Education.

*Catherine Snow, Henry Lee Shattuck Professor of Education, Harvard Graduate School of Education.*

I AM YOUR CHILD FOUNDATION,  
*Beverly Hills, CA.*

PRODUCTION AND DISSEMINATION OF EDUCATIONAL VIDEOTAPES TO PROMOTE EFFECTIVE PARENTING AND EARLY LITERACY DEVELOPMENT. ONE YEAR, \$333,500.

I Am Your Child is a national strategic communications organization founded by producer/director Rob Reiner to increase public awareness about the importance of early childhood development. The organization produces educational videotapes, resource materials and targeted communications campaigns to reach parents, early childhood professionals, policymakers and the media. With this grant, the foundation is producing a Spanish-language version of its “Ready to Learn” early

literacy video, as well as designing a set of activity guides to help parents and early childhood professionals make the best use of related videos on choosing quality child care, effective discipline and promoting child health and safety. These materials will also be translated into Spanish and promoted through an alliance with Univision, a Spanish-language media organization, and several early childhood groups.

*Ellen Gilbert, Director and Co-Founder. [www.iamyourchild.org](http://www.iamyourchild.org)*

LOCAL INITIATIVES SUPPORT CORPORATION,  
*New York, NY.*

EARLY CHILDHOOD EDUCATION FINANCING AND FACILITIES INITIATIVE. TWO YEARS, \$500,000.

The Local Initiatives Support Corporation (LISC), the nation’s largest community development organization, provides financial and technical assistance to local groups seeking to rebuild deteriorated neighborhoods. With this grant, LISC is establishing the Community Investment Collaborative for Kids, a project to enhance public and policy understanding of and support for the importance of facilities for early childhood programs. Members of the project are disseminating research on options for expanding facilities financing, particularly in disadvantaged, low income areas, and conducting analysis to help develop policy proposals that link facilities funding to program improvement. In two states the project is establishing models of public–private partnerships that provide joint support and resources for quality early childhood programs.

*Amy Gillman, Program Director, Community Investment Collaborative for Kids. [www.lisc.org](http://www.lisc.org)*

NATIONAL ASSOCIATION FOR THE EDUCATION OF YOUNG CHILDREN, *Washington, DC.*

REDESIGN OF A PROFESSIONAL ACCREDITATION SYSTEM FOR EARLY CHILDHOOD CARE AND EDUCATION PROGRAMS. TWO YEARS, \$500,000.

Policymakers, business leaders and parents are pressing for broader availability of high-quality early childhood education programs that help prepare children to succeed in school. Developed by the National Association

for the Education of Young Children (NAEYC) in 1985, program accreditation has helped to strengthen the quality of more than 6,000 early childhood programs. To both respond to the growing demand for accreditation and redesign a fifteen-year-old system, NAEYC is conducting a review of its accreditation process. Forums and focus groups are being convened to analyze alternative accreditation models. A comprehensive redesign plan will be implemented in 2002. A national commission of experts on early childhood development and education, quality assurance and policy issues is overseeing the project.

*Mark R. Ginsberg, Executive Director. [www.naeyc.org](http://www.naeyc.org)*

RUTGERS UNIVERSITY, *New Brunswick, NJ.*

STUDY ON THE FINANCING AND IMPACT OF UNIVERSAL PRESCHOOL EDUCATION. THREE YEARS, \$600,000.

The Center for Early Education at Rutgers University is conducting a major longitudinal study of New Jersey's statewide preschool initiative to provide high-quality preschool programs in thirty urban areas, begun in 1999. The study, undertaken by an interdisciplinary team of researchers, is analyzing each district's implementation policies and strategies, documenting the costs of various program and staffing arrangements and examining the long-term impact of an enhanced literacy development program. The center is also providing technical assistance materials to the programs to help them meet the goals of the initiative. Study findings will be disseminated to policymakers, representatives of educational organizations and members of the media.

*W. Steven Barnett, Professor of Economics and Policy, Graduate School of Education.*

UNITED WAY OF SOUTHEASTERN PENNSYLVANIA, *Philadelphia, PA.*

PLANNING OF A HIGH-QUALITY EARLY CHILDHOOD EDUCATION SYSTEM IN THE CITY OF PHILADELPHIA. TWENTY MONTHS, \$187,000.

The United Way of Southeastern Pennsylvania, in a joint project with the Mayor's office and school district of Philadelphia, is developing a comprehensive blueprint to make high-quality early childhood education

available to all Philadelphia families with children ages birth to five. The blueprint, which will analyze financing, management, staffing and accountability concerns, is to be implemented through a public-private partnership formed by the Mayor's office and key business leaders. A final report on the project will be disseminated to policymakers, practitioners and business leaders and the blueprint will be distributed to the United Way of America's Success By Six program and to other cities and states, including those in the Corporation's Starting Points grants initiative, which promotes innovations to meet the needs of families and young children.

*Christine James-Brown, President. [www.uwsepa.org](http://www.uwsepa.org)*

UNIVERSITY OF WASHINGTON, *Seattle, WA.*

PROJECT WITH THE BUSH CENTER IN CHILD DEVELOPMENT AND SOCIAL POLICY OF YALE UNIVERSITY PROVIDING ECONOMIC ANALYSIS AND TECHNICAL ASSISTANCE TO STATES ON FINANCING A HIGH-QUALITY EARLY CHILDHOOD EDUCATION SYSTEM. TWO YEARS, \$500,000.

In a joint project with Yale University's Bush Center in Child Development and Social Policy, the Human Services Policy Center of the University of Washington is developing a model early childhood education program that takes realistic account of affordability, patterns of use and other factors central to broadening the availability of quality programs to families that need these services. The model will be adapted in several states, including those participating in the Corporation's Starting Points grants initiative. A final report, background papers and policy briefs will be disseminated to state and national policymakers, practitioners, business leaders and journalists.

*Richard N. Brandon, Executive Director, Human Services Policy Center. [www.hspsc.org](http://www.hspsc.org)*



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## Higher Education

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AMERICAN COUNCIL ON EDUCATION,  
Washington, DC.

DEVELOPMENT OF MODELS FOR COMPREHENSIVE  
INTERNATIONALIZATION OF UNDERGRADUATE  
EDUCATION. EIGHTEEN MONTHS, \$275,000.

The impact of technology, the globalization of markets and the complexity of post-Cold War international politics make acquiring knowledge of the world and the ability to function effectively in other cultures and societies essential to the goals of higher education in the United States. While many colleges and universities have begun to respond to the need to educate their students for participation in a global society, most have not yet shifted the international agenda to the core of their mission. The American Council on Education, as part of a major initiative on the internationalization of the undergraduate experience, is analyzing the policies and practices of eight institutions regarded as leaders in this area. This grant supports institutional self assessment, site visits, a final report and dissemination of promising strategies and programs.

*Madeline F. Green, Vice President, International Initiatives.*  
*www.acenet.edu*

AMERICAN COUNCIL ON EDUCATION,  
Washington, DC.

FOLLOW-UP ACTIVITIES OF A TASK FORCE ON TEACHER  
EDUCATION. FIFTEEN MONTHS, \$186,700.

In 1999 the American Council on Education released *To Touch the Future: Transforming the Way Teachers are Taught*, a report of the Presidents' Task Force on Teacher Education. Supported by the Corporation and the Ford Foundation, the report calls on leaders in higher education to make teacher education a central part of institutional missions and contains a plan of action to improve teacher education programs. To ensure implementation of the report's recommendations, the council is establishing a Presidents' Network for the Education of Teachers that will utilize electronic communications to disseminate successful strategies, encouraging statewide and regional meetings of college

and university presidents to discuss their role in enhancing teacher quality and reconvening the task force to assess progress made.

*Michael Baer, Senior Vice President. www.acenet.edu*

AMERICAN HISTORICAL ASSOCIATION,  
Washington, DC.

STUDY OF GRADUATE TRAINING IN HISTORY.  
THREE YEARS, \$346,300.

The discipline of history is particularly important for liberal arts education, which has as a central purpose helping students to make connections between the past and the rapidly changing present. Key to adapting history education to current needs, especially the revitalization of undergraduate teaching, is evaluating how the discipline is defined and faculty trained in graduate departments of history. The Committee on Graduate Training in History of the American Historical Association is assisting in surveying the current state of graduate education in history, identifying best practices, developing guidelines and widely disseminating recommendations for changes needed to meet the academic and public responsibilities of the profession.

*Arnita A. Jones, Executive Director. www.theaha.org*

ASSOCIATION OF AMERICAN COLLEGES AND  
UNIVERSITIES, Washington, DC.

DEVELOPMENT, DISSEMINATION AND INSTITUTIONAL-  
IZATION OF PRACTICES TO STRENGTHEN LIBERAL ARTS  
EDUCATION. TWO YEARS, \$1,000,000.

In the 1990s colleges and universities began to experiment with new approaches to liberal arts education designed to enhance students' capacity for engaging in rigorous intellectual work. These approaches are not yet part of the practice of most college faculty and so do not reach the majority of undergraduates. With assistance from this grant, the Association of American Colleges and Universities is working with colleges and universities chosen for their progress in institution-wide reform of liberal learning to clarify the goals of liberal education and develop, disseminate and help institutionalize curricular models and pedagogy that further

these goals. Working groups, seminars and a summer institute will be offered for administrators and faculty, as well as high school teachers. Reports and other materials will be disseminated through both print and electronic means.

*Andrea Leskes, Vice President, Education and Quality Initiatives. [www.aacu-edu.org](http://www.aacu-edu.org)*

THE CARNEGIE FOUNDATION FOR THE  
ADVANCEMENT OF TEACHING, *Menlo Park, CA.*

STUDIES OF THE PREPARATION OF TEACHERS AND OF  
THE ROLE OF LIBERAL ARTS IN EDUCATION FOR THE  
PROFESSIONS. FOUR YEARS, \$693,000.

Under the leadership of its president, Lee Shulman, the Carnegie Foundation for the Advancement of Teaching is undertaking several interrelated activities designed to strengthen teaching in elementary, secondary, and higher education. In addition to initiating the Carnegie Teaching Academy, which aims to raise the status of teaching on college campuses, foundation staff members are conducting comparative studies of education for the professions, including teaching, and bringing teachers and teacher educators to the foundation on short-term fellowships for research on teaching through the Carnegie Academy for the Scholarship of Teaching and Learning (CASTL). This grant supports studies of the preparation of teachers and the participation of teacher educators in CASTL.

*Lee S. Shulman, President. [www.carnegiefoundation.org](http://www.carnegiefoundation.org)*

COUNCIL FOR BASIC EDUCATION, *Washington, DC.*

SUPPORT OF THE STANDARDS-BASED TEACHER  
EDUCATION PROJECT. THREE YEARS, \$450,000.

The Standards-based Teacher Education Project (STEP), a joint program of the Council for Basic Education and the American Association of Colleges for Teacher Education, engages faculty from colleges of education and the arts and sciences in a systematic review and redesign of teacher preparation programs. The project helps participating campuses ensure that new teachers graduate with thorough knowledge of their chosen subject matter and the ability to help their future students meet state and national academic

standards. Currently working with fifteen higher education institutions in four states, STEP proposes to institutionalize the program at the pilot campuses and prepare a template of the model for application in additional states.

*Diana W. Rigden, Director, Teacher Education Program. [www.c-b-e.org](http://www.c-b-e.org)*

INSTITUTE FOR EDUCATIONAL INQUIRY,  
*Seattle, WA.*

PROJECT TO INCREASE MEMBERSHIP IN THE  
NATIONAL NETWORK FOR EDUCATIONAL RENEWAL.  
THREE YEARS, \$486,900.

The National Network for Education Renewal (NNER) represents school-university partnerships including 33 colleges and universities, more than 100 school districts and over 500 elementary and secondary schools which work together to improve both teacher education and education for students. NNER's activities are guided by the Agenda for Education in a Democracy, which focuses on the relationship between the development of good schools and good teachers. In 1992 the educators who developed the agenda founded the nonprofit Institute for Educational Inquiry to provide leadership training and support for the school and university personnel involved in NNER. This grant enables the institute to offer its services to 24 additional institutions and develop a long-range plan for outreach to additional education sites.

*John I. Goodlad, President. [www.depts.washington.edu/cedren](http://www.depts.washington.edu/cedren)*

NATIONAL ALLIANCE OF BUSINESS,  
*Washington, DC.*

CAMPAIGN TO IMPROVE TEACHER QUALITY.  
SEVEN MONTHS, \$108,400.

The National Alliance of Business (NAB) is a membership organization focused on increasing student achievement and improving the nation's workforce. In recognition of the importance of teacher quality for student success, NAB is commissioning a study to identify the ways in which the business community can invest in pre-service teacher preparation and



contribute to the creation of incentive structures for teachers. The goal is to raise the stature of the teaching profession. Members of the project will conduct intensive outreach efforts to promote widespread support for increased investments and accountability for teachers among business leaders, educators and policymakers.

*Shannon Dunphy, Program Manager. [www.nab.com](http://www.nab.com)*

NATIONAL GOVERNORS ASSOCIATION CENTER FOR BEST PRACTICES, *Washington, DC.*

JOINT PROJECT WITH THE NATIONAL CONFERENCE OF STATE LEGISLATURES TO PROVIDE ASSISTANCE TO STATE LEADERS IN STRENGTHENING TEACHER EDUCATION. TWO YEARS, \$600,000.

To strengthen the nation's teaching force, Congress appropriated funds under Title II of the 1998 Higher Education Act for initiatives to improve teacher education at the state level. The National Governors' Association Center for Best Practices, together with the National Conference of State Legislatures, is undertaking a project to ensure successful implementation of the initiatives. Project members are providing technical assistance to the twenty-four states that recently received Title II funds and preparing a series of issue briefs on state innovations in teacher training, including the financing of teacher education and the development of performance-based licensing standards. In addition, the project is conducting outreach to legislators in all fifty states to focus attention on teacher preparation. A final report, to be distributed to policymakers, will highlight best practices.

*Dane Linn, Director, Education Policy Studies.  
[www.nga.org/Center](http://www.nga.org/Center)*

RAND CORPORATION, *Arlington, VA.*

PLANNING A STUDY OF THE EFFECTS OF LINKING COLLEGE AND UNIVERSITY ADMISSIONS TO HIGH SCHOOL EXAMINATIONS. ONE YEAR, \$124,300.

The standards movement has shaped elementary and secondary school reform in recent years. Many states are making grade promotion and high school graduation contingent on test scores and some are even con-

sidering using such tests as a criterion for admission to postsecondary education. Reliable information is needed on the likely effects of the use of high school assessment tests, alone or in conjunction with traditional college admission tests, on the pool of students eligible for admission, on the prediction of performance in college and on the composition and diversity of undergraduate student bodies. With Corporation support, RAND is undertaking a one-year feasibility study exploring the availability and quality of data on this subject and the willingness of states and postsecondary institutions to cooperate in a full-scale study.

*Daniel Koretz, Senior Social Scientist. [www.rand.org](http://www.rand.org)*

RECRUITING NEW TEACHERS, *Belmont, MA.*

NATIONAL STUDY OF COMMUNITY COLLEGE CAREER CORRIDORS FOR ELEMENTARY AND SECONDARY TEACHER RECRUITMENT AND PREPARATION. TWENTY-NINE MONTHS, \$235,000.

More than one-fifth of all teachers and a larger proportion of minority teachers begin their educational training in community colleges. Recruiting New Teachers is conducting a study to examine the role played by community colleges in recruiting and preparing prospective teachers. Building on preliminary research funded by the U.S. Department of Education's Office of Educational Research and Improvement on the general infrastructure of community colleges, members of the study are focusing on effective formal collaboration between community colleges, secondary schools and four-year institutions. This grant supports case studies of exemplary programs, a review of formal collaboration policies and publication of a final report.

*Elizabeth F. Fidler, Executive Vice President and Chief Operating Officer. [www.rnt.org](http://www.rnt.org)*

RICE UNIVERSITY, *Houston, TX.*

CONFERENCE ON COMPUTER SCIENCE AND THE HUMANITIES. ONE YEAR, \$86,700.

To lay the groundwork for thoughtful integration, on both policy and programmatic levels, for use of technology in the humanities, Rice University is convening a conference that will bring together leading

practitioners in the technology and humanities fields. Conference goals include building from campus-based projects to larger-scale collaborations, developing a common intellectual foundation for strategies and best practices at the national level and informing decision-makers in higher education institutions about the potential of digital technology for scholarship and teaching in the humanities. A project web site will facilitate communication among participants and a conference report will be produced.

*Charles Henry, Vice Provost and University Librarian.*

TEACHERS COLLEGE, COLUMBIA UNIVERSITY,  
New York, NY.

FOLLOW-UP WORK OF A COMMISSION ON TEACHING  
(FINAL). TWO YEARS, \$628,800.

In 1996, with joint support from the Rockefeller Foundation and Carnegie Corporation, the National Commission on Teaching and America's Future, based at Teachers College, made a series of recommendations for the reform of teacher education in its report, *What Matters Most: Teaching for America's Future*. The recommendations received considerable national attention and, as a result, the Commission has been at the center of teacher education reform efforts. With this grant, the commission is researching, producing and disseminating a report examining five years of progress to date as well as related issues, such as findings on links between teaching quality and student achievement and policies and practices that support better teaching and learning. Additional materials such as position papers, newsletters and other reports will also be created.

*Linda Darling-Hammond, Executive Director, National Commission on Teaching and America's Future.*  
[www.tc.columbia.edu/~teachcomm](http://www.tc.columbia.edu/~teachcomm)

WOODROW WILSON NATIONAL FELLOWSHIP  
FOUNDATION, Princeton, NJ.

STRENGTHENING HISTORICAL LITERACY IN GRADES  
11–14. THREE YEARS, \$988,800.

The National Council on Education and the Disciplines, a new program of the Woodrow Wilson National Fellowship Foundation, is launching a project

to strengthen liberal arts education by making the liberal arts disciplines more integral to the expectations, curricula and achievement standards of the last two years of high school and the first two years of undergraduate education. The council has identified core literacies gained through the major disciplines—quantitative, scientific, historical and artistic—and is establishing four teams of scholars to design professional development strategies and an educational infrastructure for grades 11–14 that incorporates the importance of these literacies. This grant supports activities of the project related to historical literacy. The designs will be implemented through conferences, symposia and publications.

*Robert Orrill, Executive Director, National Council on Education and the Disciplines.* [www.woodrow.org](http://www.woodrow.org)

WOODROW WILSON NATIONAL FELLOWSHIP  
FOUNDATION, Princeton, NJ.

NATIONAL MEETING OF URBAN SECONDARY SCHOOL  
TEACHERS AND FACULTY MEMBERS IN THE LIBERAL ARTS  
AT RESEARCH UNIVERSITIES. ONE YEAR, \$85,000.

Robert Weisbuch, president of the Woodrow Wilson National Fellowship Foundation, is leading an effort to strengthen the connection between higher education and secondary education—with particular focus on the liberal arts disciplines. The project brings together experienced urban high school teachers and liberal arts faculty members, primarily from leading research universities, for a series of conferences that address challenges to partnerships between high schools and universities and strategies for educationally meaningful and permanent collaboration. This grant supports a national meeting that will build on the ideas generated at four regional conferences, convened at major research universities.

*Robert Weisbuch, President.* [www.woodrow.org](http://www.woodrow.org)



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## Urban School Reform

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ASPEN INSTITUTE, *Washington, DC.*

CONGRESSIONAL PROGRAM ON EDUCATION.

ONE YEAR, \$412,000.

The Aspen Institute's Congressional Program on Education, formerly the Children's Policy Forum, brings members of Congress together with leading scholars and practitioners to examine problems facing young people in the United States. Through seminars and an annual retreat, the program enables legislators to gain an in-depth understanding of issues central to the nation's youth and to develop effective policy responses. In February 2001, support from this grant will help participants to examine strategies aimed at promoting educational excellence in the new economy, including an emphasis on leadership development, high school reform, school district redesign and early literacy skills.

*Dick Clark, Director, Congressional Program.*

*www.aspeninstitute.org*

ASPEN INSTITUTE, *Washington, DC.*

CONGRESSIONAL PROGRAM ON EDUCATION.

ONE YEAR, \$400,000.

This grant to the Aspen Institute's Congressional Program on Education, which brings members of Congress together with leading scholars and practitioners to examine problems facing young people in the United States, supports the January 2000 retreat at which participants will examine the status of and barriers to education reform in cities and states and assess strategies for accelerating reform. (See previous description.)

*Dick Clark, Director, Congressional Program.*

*www.aspeninstitute.org*

ASPEN INSTITUTE, *Washington, DC.*

URBAN HIGH SCHOOL REFORM PROJECT.

ONE YEAR, \$150,000.

The Aspen Institute's Program on Education in a Changing Society is conducting a project to identify means of addressing urban high school reform, analyze the reasons for limited progress to date and examine underlying assumptions about education that may contribute to obstacles to change. To build consensus among policymakers, educators and business and community leaders on the state and policy implications of reform at local, state and national levels, members of the project are commissioning papers and convening a series of conferences. Activities to disseminate the conference findings include briefing members of national associations and government and helping individual participants of the project, such as superintendents and business leaders, implement recommendations.

*Nancy E. Pelz-Paget, Director, Program on Education in a Changing Society, c/o Council for Aid to Education, New York, NY.*

CARNEGIE CORPORATION OF NEW YORK'S SCHOOLS  
FOR A NEW SOCIETY INITIATIVE, *New York, NY.*

PLANNING OF DISTRICTWIDE REFORM IN SECONDARY  
SCHOOL EDUCATION. FIFTEEN MONTHS, \$2,450,000.

Corporation staff members have designed the *Schools for a New Society* initiative to foster high school reform that reaches beyond the level of individual schools. Ten districts and communities that have a record of district and civic leadership for comprehensive school reform are being supported by the Corporation to assess the status of high school education in their communities, create new visions for their high schools and increase the community's capacity to overcome entrenched systemic barriers to excellence. During Phase I, the district-community partnerships are developing action plans for the creation of effective high schools for all students and strengthening leadership to implement districtwide change.

Boston Plan for Excellence in the Public Schools,  
\$250,000

Chattanooga-Hamilton County Public Education Fund, \$250,000

Child-Centered School Initiative of the Greater Houston Area (Houston Annenberg Challenge), \$250,000

Clark University (Worcester), \$250,000

Health and Education Leadership for Providence (HELP), \$250,000

Indianapolis Public Schools Education Foundation, Inc., \$250,000

Linking Education and Economic Development in Sacramento (LEED-Sacramento), \$250,000

New Futures for Youth Inc. (Little Rock), \$250,000

Portland Public Schools Foundation, \$200,000

San Diego Foundation, \$250,000

*Michele Cahill, Senior Program Officer. [www.carnegie.org](http://www.carnegie.org)*

CARNEGIE CORPORATION OF NEW YORK,  
New York, NY.

TECHNICAL ASSISTANCE AND MANAGEMENT SERVICES FOR THE SCHOOLS FOR A NEW SOCIETY INITIATIVE. APPROPRIATION ADMINISTERED BY THE OFFICERS OF THE CORPORATION. FOUR MONTHS, \$199,185.

To provide technical assistance to the school-community partnerships funded under the *Schools for a New Society* initiative (see previous description), the Corporation is supporting the establishment of a management office and technical assistance network at the Academy for Educational Development (AED). AED, a nonprofit organization that works with community-based organizations, businesses, governmental agencies and schools, colleges and universities to implement programs, is providing assistance on the development of school and district self-assessments, the formation of school-community collaborations and the building of broad-based coalitions.

*Michele Cahill, Senior Program Officer. [www.carnegie.org](http://www.carnegie.org)*

CARNEGIE CORPORATION OF NEW YORK,  
New York, NY.

MIDDLE GRADE SCHOOL STATE POLICY INITIATIVE. APPROPRIATION ADMINISTERED BY THE OFFICERS OF THE CORPORATION. ONE YEAR, \$103,500.

The *Middle Grade School State Policy* initiative, launched in 1990, is a program of grants to fifteen states aimed at promoting reforms in the education of young adolescents. These reforms were called for in the Carnegie Council on Adolescent Development's 1989 report, *Turning Points: Preparing America's Youth for the 21st Century*. The initiative has led to the formulation of state policies that encourage middle and junior high schools to adopt promising educational practices. Other results include the creation, in each of the states, of a network of demonstration schools and an infrastructure to support professional development activities for principals and teachers.

In 1997 the initiative began the transition from a Corporation-supported project to a national network of states and schools engaged in implementing the reforms recommended in *Turning Points*. Under a contract with the Corporation, the University of Maryland provides technical and administrative assistance to the project directors in each state. The university is also organizing two conferences to train school practitioners in instruction, school organization and standards-based curriculum and assessment.

Corporation staff members are completing a sequel to *Turning Points* that will update its suggestions for improving the education of ten- to fifteen-year-olds. *Turning Points 2000: Educating Adolescents in the 21st Century* will draw together lessons learned from the implementation of reforms to middle grade schools generated by the initiative and other efforts. A grant from the Corporation to New American Schools is enabling several states to implement a new middle school model, based on the recommendations of *Turning Points 2000*, under the direction of the Center for Collaborative Education, Metro Boston.

*Michael H. Levine, Deputy Chair and Senior Program Officer. [www.carnegie.org](http://www.carnegie.org)*



CLASSROOM, INC., *New York, NY.*

COMPREHENSIVE APPROACH TO IMPROVE TEACHING  
AND LEARNING IN EIGHT URBAN SCHOOL DISTRICTS.  
THREE YEARS, \$650,000.

Classroom, Inc. (CRI), a not-for-profit organization, creates educational programs for high schools that feature interactive computer simulations of "real life" contexts and provide the opportunity for students to work together in identifying problems, evaluating solutions and making decisions. The programs help to strengthen math, social studies and written and oral communications skills. CRI's professional development activities, a second major component of the program, are aimed at helping teachers use the software to its fullest potential. This grant provides support for research, an evaluation of the program and scaling-up and implementing the interactive curricula and professional development program in eight selected urban school districts in three regions across the country.

*Madeline E. Lacovara, President. [www.classroominc.org](http://www.classroominc.org)*

COUNCIL OF CHIEF STATE SCHOOL OFFICERS,  
*Washington, DC.*

EFFECTIVE STATE AND DISTRICT PRACTICES TO  
IMPROVE ACHIEVEMENT IN HIGH POVERTY SCHOOLS.  
ONE YEAR, \$225,000.

The High Poverty Schools Project of the Council of Chief State School Officers (CCSSO) is a leading state-level policy advocate and technical assistance provider for improving state policies and practices targeted at low-performing districts and schools. CCSSO is undertaking activities designed to help states assist their high-poverty schools and districts to improve performance. Efforts include issuing profiles, briefs and a monthly newsletter addressing these issues, developing recommendations and holding a working conference for teams of state and local educators. CCSSO will also engage in a strategic planning process to analyze the impact of its work with high-poverty schools and districts and to determine future strategies for sustaining and strengthening initiatives to assist urban schools and districts.

*Cynthia G. Brown, Director, Resource Center on  
Educational Equity. [www.ccsso.org](http://www.ccsso.org)*

CROSS CITY CAMPAIGN FOR URBAN SCHOOL  
REFORM, *Chicago, IL.*

PREPARATION AND DISSEMINATION OF CASE STUDIES ON  
SCHOOL DISTRICT RESTRUCTURING IN THREE CITIES.  
THREE YEARS, \$375,000.

To contribute to the continuing national dialogue on school reform, Cross City Campaign for Urban School Reform is examining models of urban school district management and governance in Chicago, Milwaukee and Seattle. Project members are analyzing the case studies to identify a balance of support and authority between central offices and schools that leads to improvements in instruction and student achievement. Researchers, central administrators, principals, teachers and site-based governance team members in each city are advising all phases of the project and will assist in implementing and disseminating the results.

*Anne C. Hallett, Executive Director. [www.crosscity.org](http://www.crosscity.org)*

EDUCATION WRITERS ASSOCIATION,  
*Washington, DC.*

SEMINARS AND AN INTERACTIVE RESEARCH SERVICE  
FOR REPORTERS ON CRITICAL ISSUES IN EDUCATION.  
TWO YEARS, \$225,000.

The Education Writers Association, a professional membership organization of education reporters and editors, is expanding the information and resources available on its web site to include source lists used by other journalists, syntheses of key research and policy studies and a video and audio reference service for broadcast reporters seeking film footage and radio clips. The association is also convening a series of seminars on contemporary debates in education reform, addressing among other topics the options for improving teacher quality, new instructional and management strategies to engage the minority achievement gap in urban districts and the financing of quality early childhood education.

*Lisa J. Walker, Executive Director. [www.ewa.org](http://www.ewa.org)*

INSTITUTE FOR EDUCATIONAL LEADERSHIP,  
Washington, DC.

COALITION FOR COMMUNITY SCHOOLS.  
THREE YEARS, \$300,000.

The Coalition for Community Schools is a national organization focused on increasing the visibility and capacity of the family and community supports central to building effective public schools for children living in urban areas. The coalition comprises over 120 partner institutions in education, youth development, family support, community development, government and philanthropy. Coalition members also include local civic and community leaders in a wide range of cities who work with educators to build new models of effective public schools. Over the next three years, with Corporation support, the coalition is expanding its activities—including its meetings, publications and media campaigns—aimed at increasing public and policymaker support for implementation strategies. The Institute for Educational Leadership serves as the fiscal agent and staffing arm of the coalition.

*Martin J. Blank, Staff Director, Coalition for Community Schools. [www.communityschools.org](http://www.communityschools.org)*

INSTITUTE FOR EDUCATIONAL LEADERSHIP,  
Washington, DC.

RESEARCH AND PUBLIC EDUCATION ACTIVITIES  
TO IMPROVE URBAN SCHOOL LEADERSHIP.  
FIFTEEN MONTHS, \$175,000.

To highlight the training of educational leaders as an integral part of education reform, the Institute for Educational Leadership is conducting a project to assess leadership training and responsibilities at principal, teacher, district and state levels. The goal is to determine the extent to which current recruitment, training and management practices contribute to ineffective public school governance, particularly in urban school districts. The institute, which conducts policy research and promotes professional development reforms, will synthesize the studies of the four levels and make recommendations for the establishment of nationwide leadership initiatives for teachers, principals, superintendents, school board members and state policymakers.

*Michael Usdan, President. [www.iel.org](http://www.iel.org)*

JOBS FOR THE FUTURE, Boston, MA.

IDENTIFICATION, ASSESSMENT AND DISSEMINATION  
OF NEW MODELS OF HIGH SCHOOL LEARNING.  
TWO YEARS, \$385,900.

Jobs for the Future (JFF), a national, nonprofit organization, is analyzing the potential and heightening the visibility of emerging models of high school learning that meet both academically rigorous standards and “real world” needs, with a particular emphasis on those that help students who are not succeeding in mainstream high schools. Toward this end, JFF is forming a leadership group of practitioners and national, state and local policymakers to assess the potential for scaling up the best models and develop strategies for shaping an effective secondary education system that taps all the learning contexts, teacher skills and resources a community has to offer. Case studies, advocacy activities and a final report will result from the project.

*Hilary Pennington, President. [www.jff.org](http://www.jff.org)*

LEARNING MATTERS, New York, NY.

TELEVISION SERIES AND REPORTING ABOUT EDUCATION  
REFORM. TWO YEARS, \$350,000.

Each year the *Merrow Report*, an award-winning television program focused on youth and education, produces four documentary programs for the Public Broadcasting System (PBS). Recent reports, hosted by journalist John Merrow, have addressed school reform in three cities and the nation’s teacher shortage. In partnership with *Education Week*, the report has established a bimonthly webcast and, with National Public Radio, a related series of programs. Under this grant, Learning Matters, which produces the *Merrow Report*, is developing roughly a dozen brief news reports to be aired on PBS and cable news stations, and posted on the Internet. The shorter reports will cover early childhood education, urban school reform and teacher education and school leadership issues. In addition, Learning Matters is producing a “consumer reports” series for network television, aimed at helping parents identify successful community schools.

*John Merrow, President. [www.pbs.org/merrow](http://www.pbs.org/merrow)*



NATIONAL ACADEMY OF SCIENCES,  
*Washington, DC.*

FORUM ON ADOLESCENCE (FINAL).  
THIRTY MONTHS, \$708,000.

The National Academy of Sciences' Forum on Adolescence, created in 1996 with support from the Corporation, aims to improve the scientific basis of programs and policies related to adolescent health and development by providing research-based information in the behavioral, social and health sciences to researchers, policymakers and practitioners. Guided by an eighteen-member panel of experts, the forum focuses on several thematic areas: understanding and promoting healthy development; institutions that support adolescents and their families; family and community environments; race, ethnicity and cultural diversity; and, most recently, education and urban school reform in the middle and senior school years.

*Michele D. Kipke, Director, Board on Children, Youth and Families. [www.nas.edu](http://www.nas.edu)*

NATIONAL ACADEMY OF SCIENCES,  
*Washington, DC.*

STRATEGIC PLAN TO CONNECT RESEARCH TO  
EDUCATION PRACTICE AND POLICY.  
EIGHTEEN MONTHS, \$100,000.

In many sectors of the American economy, scientific research has led to major innovations and increases in productivity. Research on education, however, has been isolated within universities, lacked strong quality controls and methods for accumulating results and has not been well connected to either policy or practice. Drawing from its multifaceted scientific research and from a wide range of interviews with education practitioners and policy makers, the National Academy of Sciences is conducting a project to develop a national strategic plan for education research that will link researchers, practitioners and policymakers in ongoing networks to improve student learning.

*Alexandra K. Wigdor, Deputy Director, Commission on Behavioral and Social Sciences and Education. [www.nas.edu](http://www.nas.edu)*

NATIONAL CENTER ON EDUCATION AND THE  
ECONOMY, *Washington, DC.*

RESEARCH AND MEETINGS TO DESIGN A  
PRINCIPALS' LEADERSHIP TRAINING MODEL.  
ELEVEN MONTHS, \$197,000.

As public pressure builds for more rapid achievement gains in public schools, the training of school principals, especially in urban areas, is coming under increased scrutiny. The National Center on Education and the Economy, an internationally recognized education reform organization, is developing a new model for the training of school principals, based on an examination of best practices in Europe and Asia as well as the United States. Center staff members are reexamining the potential of interactive technology to aid in training and also conducting a review of professional and state certification requirements and their impact on performance. A report detailing the model will be disseminated to policymakers and leaders in universities, school districts and business.

*Judy Coddling, Vice President. [www.ncee.org](http://www.ncee.org)*

NATIONAL PUBLIC RADIO, *Washington, DC.*

EXPANDED NEWS REPORTING ON EDUCATION  
REFORM ISSUES. TWO YEARS, \$540,000.

National Public Radio (NPR), heard on over 600 stations across the United States and in over 50 countries, is expanding its coverage of education issues. In addition to conducting in-depth examinations of early childhood, urban school reform, teacher quality, higher education and technology issues, NPR is hiring a senior education reporter and a news producer to assist with national, regional and special assignment education reporting, including coverage of education issues in the 2000 election campaign.

*Bruce Drake, Acting Vice President of News and Information. [www.npr.org](http://www.npr.org)*

NEW YORK UNIVERSITY, *New York, NY.*

RESEARCH ON THE IMPACT OF CHARTER SCHOOLS  
ON EDUCATIONAL EQUITY IN URBAN SCHOOLS.  
TWO YEARS, \$600,000.

New York University's Institute for Education and Social Policy, which aims to strengthen urban public schools, is undertaking a national study of the charter school movement, premised on the idea that deregulation will encourage entrepreneurial efforts that will lead to better schools for more children. The study focuses on the ways in which different charter governance arrangements and levels of deregulation affect the quality of instruction, staffing and choices for low-income families. Findings will be disseminated to policymakers, members of education reform groups, and journalists.

*Norm Fruchter, Director, Institute for Education and Social Policy.*

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA.*

PLANNING A UNIVERSITY-SCHOOL DISTRICT LEADERSHIP TRAINING CENTER. NINE MONTHS, \$120,500.

The quality of urban school leadership has come under increased scrutiny as policymakers, business leaders and concerned parents press for more rapid gains in public school achievement levels. But school administrators and others charged with the responsibility for school reform often lack the training to successfully meet new challenges. To begin addressing this problem, the University of Pennsylvania will use Corporation support to develop a comprehensive plan for a university-based school leadership training center to pilot test professional development programs including an aspiring leaders program for exceptional teachers, certification and advanced degree programs for principals and superintendents in the Philadelphia area, and a residency fellowship program to identify emerging education leaders throughout the United States. These initiatives may later serve as national models.

*Susan Fuhrman, Dean, Graduate School of Education.*  
[www.gse.upenn.edu](http://www.gse.upenn.edu)

THE AFTER-SCHOOL CORPORATION, *New York, NY.*

PRODUCTION AND DISSEMINATION OF MATERIALS  
ON PROMISING PRACTICES IN THE AFTER-SCHOOL  
CORPORATION'S PROGRAMS.  
EIGHTEEN MONTHS, \$75,000.

The After-School Corporation (TASC), which was established in 1998 by the Open Society Institute to enhance the quality and availability of after-school activities for New York City students, now serves more than 25,000 public school children. One outgrowth of TASC's work is the Promising Practices Initiative, created to stimulate and improve the quality of after-school programs by sharing the promising practices and policies developed at TASC sites. As part of the initiative and to enhance the scarce body of literature on after-school programs, TASC is producing and disseminating six promising practice reports in 2000-2001.

*Lucy N. Friedman, President.* [www.tascorp.org](http://www.tascorp.org)

WELLESLEY COLLEGE, *Wellesley, MA.*

DEVELOPMENT OF A CROSS-CITY NETWORK FOR  
AFTER-SCHOOL LEADERS. TWO YEARS, \$297,000.

In May 1999, the Corporation hosted a meeting that brought together program directors of citywide after-school extended-learning programs to share information about experiences and practices. Some suggestions for foundation action that resulted from this meeting included funding a coordinator to share best practices and strategies among the cities, documenting these efforts and convening the group periodically to look at specific issues, priorities and concerns. In January 2000, a planning grant from the Corporation enabled the National Institute on Out-of-School Time (NIOST) at Wellesley College to help develop a network support strategy for these programs. The project that emerged is called the Cross-Cities Network; this implementation grant enables NIOST to facilitate, support and provide structure for its activities, to focus on improving the effectiveness of citywide after-school initiatives and related efforts.

*Beth Miller, Research Director, National Institute on Out-of-School Time.*



UNIVERSITY OF WISCONSIN, *Madison, WI*

DISSEMINATION ACTIVITIES ON NEW FORMS OF  
TEACHER COMPENSATION. THREE YEARS, \$450,000.

Current standards-based education reforms require teachers to command greater content and pedagogical skills than in the past, not only to teach an enriched curriculum effectively and address an increasingly diverse student population, but also to take on broader leadership in school management. To identify forms of compensation for teachers that takes performance as well as years of training and experience into consideration, the Teacher Compensation Project of the University of Wisconsin is developing a web-based information center with data on state and district compensation related initiatives and hosting an annual conference for states and districts implementing new forms of teacher compensation. Members of the project are also producing issue briefs on related policies and facilitating networking between sites working on new forms of compensation.

*Allan Odden, Codirector, Consortium for Policy Research in Education. [www.wcer.wisc.edu/cpre/teachercomp](http://www.wcer.wisc.edu/cpre/teachercomp)*

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## Discretionary Grants

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AMERICA'S PROMISE: THE ALLIANCE FOR YOUTH,  
*Alexandria, VA*

FOR STRATEGIC PLANNING, \$25,000

BROOKLYN PUBLIC LIBRARY, *Brooklyn, NY*

TOWARD THE EXPANSION OF EARLY CHILDHOOD  
PROGRAMS TO PROMOTE READING, \$25,000

CHILD CARE ACTION CAMPAIGN, *New York, NY*

TOWARD PLANNING A CAMPAIGN ON THE IMPORTANCE  
OF EARLY CHILDHOOD LITERACY FOR CHILD CARE AND  
PRESCHOOL EDUCATORS, \$25,000

COMMITTEE FOR ECONOMIC DEVELOPMENT  
*New York, NY*

FOR A PLANNING MEETING ON FINANCING EARLY  
CHILDHOOD EDUCATION AND CARE, \$25,000

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

TOWARD A WORKSHOP AND REPORT ON PREPARING  
PH.D.-LEVEL SCIENTISTS FOR CAREERS IN SECONDARY  
SCHOOL TEACHING, \$25,000

NEW YORK PUBLIC LIBRARY, *New York, NY*

TOWARD SUMMER READING PROGRAMS FOR CHILDREN,  
\$25,000

QUEENS BOROUGH PUBLIC LIBRARY, *Jamaica, NY*

TOWARD BOOKS AND MATERIALS FOR EARLY LITERACY  
WORKSHOPS AND SUMMER READING PROGRAMS, \$25,000

RAND CORPORATION, *Santa Monica, CA*

TOWARD A STUDY OF SCHOOL VOUCHERS, \$25,000

REPLICATION AND PROGRAM STRATEGIES INC.,  
*Philadelphia, PA*

TOWARD A PROJECT ON REPLICATING SUCCESSFUL EARLY  
CHILDHOOD PROGRAMS, HELD IN COOPERATION WITH  
THE NATIONAL CENTER FOR CHILDREN IN POVERTY OF  
COLUMBIA UNIVERSITY, \$25,000

## Revitalizing Public Libraries

BOTSWANA NATIONAL LIBRARY SERVICE,  
*Gaborone, Botswana.*

DEVELOPMENT OF A STRATEGIC PLAN TO REVITALIZE  
PUBLIC LIBRARIES IN BOTSWANA.

SIX MONTHS, \$67,000.

Established in 1967 by an act of parliament to meet the nation's information needs, Botswana National Library Service operates 22 public libraries, 67 village reading rooms, 3 bookmobiles and provides book box—or circulating library—services to 254 primary schools. With this grant, the service is analyzing its current facilities and services and developing a strategic plan for revitalizing the public library system, called for by the International Network for the Availability of Scientific Publications in the Corporation-supported study of library services in selected African countries. In addition to hosting a meeting of stakeholders to identify needs and to build support for libraries among organizations, the service is conducting a user survey in five communities slated for new libraries and organizing a reading week to highlight the importance of a reading culture.

*Ratanang Motlhabane, Acting Director.*

INTERNATIONAL COUNCIL OF SCIENTIFIC UNIONS,  
*Paris, France.*

DISSEMINATION OF A BIBLIOGRAPHY AND FINDINGS  
OF A LITERATURE REVIEW ON PUBLIC LIBRARIES IN  
AFRICA BY THE INTERNATIONAL NETWORK FOR THE  
AVAILABILITY OF SCIENTIFIC PUBLICATIONS.

THIRTY-TWO MONTHS, \$150,000.

In April 1999, the Corporation made a grant to the International Council of Scientific Unions to enable one of its divisions, the International Network for the Availability of Scientific Publications, to create a comprehensive bibliography on the state of public libraries in Commonwealth countries in Africa. With this grant, the network is disseminating print and

electronic versions of the findings to policymakers, librarians, educators and representatives of nongovernmental organizations and donor agencies in the continent and in the West. In addition, network staff members are conducting workshops and making presentations at African and international conferences to discuss the bibliography and address strategies for building capacity at the libraries under review.

*Carol Priestley, Director, International Network for the Availability of Scientific Publications, Oxford, United Kingdom. [www.oneworld.org/inasp](http://www.oneworld.org/inasp)*

KENYA NATIONAL LIBRARY SERVICE,  
*Nairobi, Kenya.*

DEVELOPMENT OF A STRATEGIC PLAN TO REVITALIZE  
PUBLIC LIBRARIES IN KENYA. SEVEN MONTHS, \$75,000.

In its Corporation-supported report on library services in selected African countries, the International Network for the Availability of Scientific Publications called for further research of the public's information needs and the development of new strategies to enhance library services. Kenya National Library Service (KNLS), established in 1965 to develop, promote and manage library and information services in Kenya, is undertaking an analysis of its infrastructure, conducting a user survey, identifying potential partners with whom to promote literacy and formulating new financing mechanisms to expand operations in response to the report's findings. In addition, KNLS, which serves over one million users annually, will generate two research reports and a strategic plan for dissemination to policymakers and the public.

*Stanley K. Ng'ang'a, Director. [www.knls.or.ke](http://www.knls.or.ke)*

LIBRARY AND INFORMATION ASSOCIATION OF  
SOUTH AFRICA, *Pretoria, South Africa.*

INSTITUTIONAL SUPPORT. THREE YEARS, \$249,400.

The Library and Information Association of South Africa was founded in 1997 to unite and represent all institutions and persons engaged in library and



information services in South Africa. As a professional body, it promotes standards and best practices for the field, provides education and training, conducts meetings, conferences and research, promotes universal access to information, advocates for the profession and engages in other activities that enhance the skills and status of library and information workers. This grant provides institutional support to the association for staff and operational expenses.

*Ellen R. Tise, President. [www.liasa.org.za](http://www.liasa.org.za)*

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## Strengthening African Universities

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INTERNATIONAL INSTITUTE FOR EDUCATIONAL PLANNING, *Paris, France.*

ASSOCIATION FOR THE DEVELOPMENT OF EDUCATION IN AFRICA. ONE YEAR, \$50,000.

The Association for the Development of Education in Africa (ADEA) is an alliance of African ministries of education and public and private donor organizations supporting education in Africa. To strengthen the capacity of African governments and other institutions assisting the African education community's efforts to achieve lasting improvements, ADEA acts as a forum for dialogue among its members, sponsoring meetings and exchanges and running an extensive publications program. Governed by a steering committee, it comprises eleven working groups that carry out specialized activities in selected areas, including higher education, women's and girls' education and books and learning materials. ADEA's Secretariat is based in Paris at the International Institute for Educational Planning. This grant supports the Corporation's membership.

*Richard Sack, Executive Secretary. [www.adeanet.org](http://www.adeanet.org)*

MAKERERE UNIVERSITY, *Kampala, Uganda.*

PREPARATION OF A UNIVERSITY-WIDE STRATEGIC PLAN. SIX MONTHS, \$72,000.

Makerere University is the largest university and research institution in Uganda. In 1996, after two

decades of decline, the university began a process of modernization and expansion guided by a three-year strategic plan. The significant progress made by the university, concluded in a December 1999 evaluation, prompted university leaders to initiate a five-year plan entailing the creation and implementation of a comprehensive strategic framework for the university as well as for each academic and administrative department. This grant contributes to the development of plans by the university's colleges, faculties, schools, institutes and administrative units. It also supports the preparation of a consolidated strategic plan by the university council's planning and development committee.

*Muhammed K. Mayanja, Director, Planning and Development. [www.muk.ac.ug/](http://www.muk.ac.ug/)*

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## Human Resources in Developing Countries\*

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AFRICA LEADERSHIP FOUNDATION, *Ogun State, Nigeria.*

AFRICA LEADERSHIP FORUM (FINAL). TWO YEARS, \$410,000.

The central mission of the Africa Leadership Forum, affirmed at its inaugural conference in 1988, is to enhance leadership capabilities in Africa with a view toward strengthening government, businesses and the nonprofit sector. Through conferences, workshops and seminars, the forum provides economic and social development training for policymakers, military personnel, civil servants and community leaders. Publications resulting from forum activities are disseminated to African policymakers, universities and research and nongovernmental organizations. Under this final grant, the forum is relocating its offices in Nigeria, opening a new office in Mozambique and collaborating with other African and international organizations to enhance the leadership capacity of women and youth.

*Ayodele Aderinwale, Secretary, Africa Leadership Forum. [www.africaleadership.org](http://www.africaleadership.org)*

\*Program under previous Corporation guidelines

CARTER CENTER, *Atlanta, GA.*

NEW MODEL OF INTERNATIONAL COOPERATION  
FOR DEVELOPMENT ASSISTANCE (FINAL).  
TWO YEARS, \$400,000.

The Global Development Initiative was established in 1993 at the Carter Center to devise a model for improving development assistance through increased collaboration among donors and between donors and developing countries. The model has two components: the elaboration by the host country of a national development strategy that establishes economic, legislative and human resources plans and priorities, and the coordination of donors to support implementation of the strategy. The center, which provides technical assistance to the host country and acts as an advocate for the process with donors, is completing work in Guyana and, over the next two years, will complete the adoption of the model in Albania, Mali and Mozambique. The initiative's advisory group assists the center in evaluating the model and disseminating the results to policymakers worldwide.

*Jason S. Calder, Senior Program Associate, Global Development Initiative. [www.CarterCenter.org](http://www.CarterCenter.org)*

INTERNATIONAL DEVELOPMENT RESEARCH  
CENTRE, *Nairobi, Kenya.*

AFRICAN TECHNOLOGY POLICY STUDIES NETWORK  
(FINAL). TWO YEARS, \$500,000.

The dual mission of the African Technology Policy Studies Network (ATPS) is to improve the quality of science and technology policymaking in sub-Saharan Africa and to strengthen the region's institutional capacity for the management of technology. The network's activities include training, multidisciplinary research, dissemination and forging links to policymakers and researchers in fifteen Anglophone countries in the continent. Over the past ten years, ATPS has enhanced the proposal writing and research skills of more than 700 scholars and funded 120 small-grants research proposals in participating countries. Working toward becoming an independent nongovernmental organization, ATPS is strengthening the capacity of selected national chapters, developing a strategy to assess its impact and expanding its donor base.

*Osita Ogbu, Senior Programme Specialist, East African Regional Office. [www.idrc.org.za](http://www.idrc.org.za)*

NATIONAL SUMMIT ON AFRICA, *Washington, DC*

NATIONAL LEADERSHIP CONFERENCE ON U.S.-AFRICA  
RELATIONS (FINAL). FOURTEEN MONTHS, \$200,000.

For nearly two decades, the Corporation and the Ford Foundation have been working on different approaches toward enhancing awareness and understanding in the United States about conditions in Africa. In 1996, the two foundations agreed to provide collaborative support for a national campaign to stimulate U.S. interest in the continent. The National Summit on Africa aims to educate Americans about Africa and to develop a policy agenda for guiding U.S. relations with Africa. Preparatory meetings with organizations and scholars interested in Africa have been held throughout the United States and recommendations from these meetings were gathered to form a national plan of action for debate at the summit, held in Washington, D.C., February 16–20, 2000. This grant supports final arrangements for the summit, dissemination of the plan of action and the summit's impact assessment.

*Leonard H. Robinson, President and CEO.  
[www.africasummit.org](http://www.africasummit.org)*

WOMEN IN LAW AND DEVELOPMENT IN AFRICA,  
*Harare, Zimbabwe.*

TRAINING AND ADVOCACY ON WOMEN'S RIGHTS (FINAL).  
TWO YEARS, \$250,000.

Women in Law and Development in Africa (WiLDAF) is a leading pan-African network of individuals and organizations dedicated to enhancing the rights of African women. The network emphasizes the legal status of women in national development planning and mobilizes support for women's rights by formulating new strategies, providing assistance and training to grassroots legal literacy programs and representing African women's concerns at major regional and international human rights meetings. With this grant, WiLDAF staff members and affiliate members are also providing advocacy training to local organizations in an effort to build support for the adoption and ratification of the Optional Protocol of the African



Charter on Human and People's Rights, an addition that would obligate states to guarantee significant protection for women.

*Joana Foster, Regional Coordinator. [www.wildaf.org.zw](http://www.wildaf.org.zw)*

UNIVERSITY OF ZIMBABWE, *Harare, Zimbabwe.*

SCIENCE AND TECHNOLOGY POLICY DIALOGUE IN ZIMBABWE (FINAL). TWO YEARS, \$150,000.

With Corporation support, the Institute of Development Studies at the University of Zimbabwe began leading efforts in 1996 to formulate Zimbabwe's first comprehensive national policy on science and technology. To prepare an initial draft of the policy, institute staff members reviewed existing science and technology policy studies, published a compendium of findings and convened working groups of policymakers, academics, private sector leaders and representatives of nongovernmental organizations. The institute is building on the findings of the research and on the recommendations of the working groups to create an action plan that includes an implementation strategy for each government sector. The goal is to ensure adequate recognition of and funding for science and technology as an integral part of national development.

*Benson M. Zwizwai, Project Director, Institute of Development Studies. (263-4) 333-341.*

## Other

SOUTHERN AFRICAN POLITICAL ECONOMY SERIES TRUST, *Harare, Zimbabwe.*

PUBLIC EDUCATION AND OUTREACH ACTIVITIES OF THE CONSTITUTIONAL COMMISSION OF ZIMBABWE. TWO MONTHS, \$200,000.

The Constitutional Commission of Zimbabwe was appointed in May 1999 by President Robert Mugabe with a mandate to draft a new constitution for the country. Its nearly 400 members include all members of parliament and representatives of civil society, the private sector, business and academia. To gather public views about the ideal role, responsibilities and powers of government, commission staff members are con-

ducting a national survey and holding seminars in each of the country's provinces. The commission is also organizing a comprehensive media campaign to keep the public informed about its activities. A draft constitution will be presented to the president at the end of November 1999, at which time the commission will dissolve. The president will then place the draft before a national referendum. The Southern African Political Economy Series Trust is administering this grant on behalf of the commission.

*Walter J. Kamba, Vice Chairperson, Constitutional Commission of Zimbabwe, Harare, Zimbabwe.*

## Discretionary Grants

ASSOCIATION OF AFRICAN UNIVERSITIES, *Accra-North, Ghana*

TOWARD A TECHNICAL MEETING OF EXPERTS TO LAUNCH STUDY ON USE OF ICTs IN HIGHER EDUCATION INSTITUTIONS IN AFRICA, \$25,000

INSTITUTE FOR A DEMOCRATIC ALTERNATIVE FOR SOUTH AFRICA, *Arcadia, South Africa*

TOWARD A BOOK BY ALEXANDER BORAINÉ ON THE SOUTH AFRICAN TRUTH AND RECONCILIATION COMMISSION, \$25,000

NATIONAL FOUNDATION FOR THE IMPROVEMENT OF EDUCATION, *Washington, DC*

TOWARD THE DISSEMINATION OF EDUCATIONAL MATERIALS AND VIDEO TAPES OF THE FRONTLINE TELEVISION BROADCAST "THE LONG WALK OF NELSON MANDELA," \$25,000

WOMEN'S LAW AND PUBLIC POLICY FELLOWSHIP PROGRAM, *Washington, DC*

TOWARD MATCHING SUPPORT FOR A TANZANIAN FELLOW UNDER THE LEADERSHIP AND ADVOCACY FOR WOMEN IN AFRICA PROGRAM, \$25,000

## Higher Education in the Former Soviet Union

CIVIC EDUCATION PROJECT, *New Haven, CT.*

EASTERN SCHOLAR PROGRAM IN RUSSIA.

TWO YEARS, \$350,000.

The financial stress on academic institutions in the former Soviet Union has contributed to the decisions of many scholars in the region to relocate to other countries or pursue nonacademic professions. Many of those trained abroad have chosen to remain abroad after graduation. To strengthen higher education in the former Soviet Union, the Eastern Scholar Program of the Civic Education Project (CEP) helps Western-trained academics return to positions at their home universities by providing them with financial support, teaching materials and professional development assistance. With this grant, CEP is expanding and improving the program in Russia, supporting a greater number of scholars and increasing the amount of resource materials and supplies it is able to provide.

*Emily Lehrman, External Relations Officer. [www.cep.org.hu](http://www.cep.org.hu)*

NEW SCHOOL UNIVERSITY, *New York, NY.*

JOURNAL DONATION PROJECT. TWO YEARS, \$258,800.

The East and Central Europe Journal Donation Project (JDP), established at New School University in 1990, assists libraries in the former Soviet Union—many of which have experienced severe reductions in acquisitions budgets—in obtaining English-language social sciences and humanities research journals. The project, which serves 400 public and university-based libraries in twenty-seven countries, works with editors and publishers to make the journals available by donation or by extremely reduced-cost subscription. JDP remains one of a few Western initiatives, many of which now focus on increasing access in the region to electronic-format publications, that addresses the need for print academic journals.

*Arien Mack, Director, East and Central Europe Journal Donation Project. [www.newschool.edu/centers/jdp](http://www.newschool.edu/centers/jdp)*

WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS, *Washington, DC.*

CREATION OF CENTERS FOR ADVANCED STUDY AND EDUCATION IN RUSSIA. TWO YEARS, \$2,400,000.

Nearly a decade after the collapse of the Soviet Union, universities in the region are struggling to rejuvenate programs, function in a market driven economy and revamp the traditionally isolated fields of the social sciences and the humanities. To build on these efforts, the Corporation's initiative on Higher Education in the former Soviet Union is funding the creation of Centers for Advanced Study and Education (CASEs). The centers, to be located at major universities, will serve as umbrellas for advanced interdisciplinary research, professional training, academic mobility and library and publication support. This grant supports the establishment of three CASEs in Russia. The Woodrow Wilson International Center for Scholars' Kennan Institute for Advanced Russian Studies and the Moscow Public Science Foundation are administering the project.

*Blair A. Ruble, Director, Kennan Institute for Advanced Russian Studies. [www.wilsoncenter.org](http://www.wilsoncenter.org)*

## New Dimensions of Security

ASPEN INSTITUTE, *Washington, DC.*

ASPEN STRATEGY GROUP (FINAL).

TWO YEARS, \$300,000.

The Aspen Strategy Group (ASG), a standing committee of the Aspen Institute, promotes bipartisan discussion of issues affecting U.S. foreign and defense policy. The rotating membership comprises past and present policymakers, experts, media representatives and young leaders from a variety of fields. At its Maryland and Colorado facilities, where ASG convenes multiday



conferences, core members identify assumptions, policy options and areas of agreement and disagreement on a range of topics. The discussions result in books, articles and monographs written for policymakers and the public.

*Mary Catherine Andrews, Associate Director.*

*www.aspeninst.org*

BROOKINGS INSTITUTION, *Washington, DC.*

RESEARCH AND DISSEMINATION ON U.S. INTERVENTION  
POLICY IN SELF-DETERMINATION DISPUTES.

TWENTY-NINE MONTHS, \$155,000.

The Brookings Institution is conducting a two-part study of U.S. foreign policy toward claims of self-determination. The aim of the first part is to develop an intellectual framework for deciding when and where the United States should support separatist demands in internal conflicts. Members of the project, which will result in a book, are analyzing past and present U.S. policies, including contributing factors such as moral considerations and strategic interests. The second section of the project, which will result in a monograph, examines the extent to which democratic reforms successfully manage conflict in deeply divided societies. In addition to an assessment of the historical and theoretical literature on the subject, case studies are being prepared and interviews with relevant representatives of government and nongovernmental agencies are being conducted.

*Meghan L. O'Sullivan, Fellow, Foreign Policy Studies  
Program. www.brook.edu*

UNIVERSITY OF CALIFORNIA, *San Diego, CA.*

RESEARCH ON THE CONDITIONS NECESSARY FOR  
SUCCESSFUL INCLUSIVE GOVERNANCE IN ETHNICALLY  
DIVIDED SOCIETIES. TWO YEARS, \$296,700.

In response to incidences of interethnic conflict, which have led to increased calls for self-determination, many academics and policymakers have advocated power-sharing in ethnically divided states. The theoretical and practical shortcomings of this notion, however, have raised questions about the conditions under which power-sharing is possible. A team of researchers at the Institute on Global Conflict and Cooperation,

based at the University of California, San Diego, is comparing instances of successful and failed power-sharing in multiethnic states by conducting a study of internal political structures across several regions. The goal is to help develop international policy responses to interethnic conflict.

*Peter F. Cowhey, Director, Institute on Global Conflict and  
Cooperation. www-igcc.ucsd.edu*

UNIVERSITY OF CALIFORNIA, *Santa Cruz, CA.*

RESEARCH ON GLOBALIZATION AND ISLAM.

TWO YEARS, \$237,300.

Because globalization may limit the ability of states to regulate movement—of information, money and people—across national borders, it has affected the cultural and political identities of sovereign nations. The effects of globalization on Islamic states and on states with large Muslim populations are being studied by a team of researchers at the University of California, Santa Cruz. The aim of the project, to be conducted by the university's centers for Global, International and Regional Studies and for Justice, Tolerance and Community, is to determine the extent to which Islamic countries have been able to sustain cohesive political identities under globalization, and the extent to which countries with large Muslim populations have managed claims for self-determination. In addition to case studies and policy briefings, working papers will be prepared for dissemination.

*Ronnie D. Lipschutz, Associate Director, Center for Global,  
International and Regional Studies. www2.ucsc.edu/cgirs/*

CENTER FOR STRATEGIC AND INTERNATIONAL  
STUDIES, *Washington, DC.*

PROJECT ON POLITICAL ISLAM IN RUSSIA.

EIGHTEEN MONTHS, \$100,000.

The Center for Strategic and International Studies is examining the rise of political Islam in Russia and its impact on general political and social developments in the country. Center staff members are travelling to Russia to conduct a series of interviews with local and national officials, representatives of Muslim-based movements and Russian, Caucasian and Central Asian

experts about the forms in which political Islam is emerging, its reception among Russia's Muslim populations and the government's response to the growth of political Islam in Russia. At stake, as evidenced by recent developments in Chechnya and Dagestan, are not only regional peace and stability but the future of a multiethnic and multisectarian Russia. A monograph on the study will be disseminated to scholars and policymakers in the United States and Russia.

*Shireen Hunter, Director, Islamic Studies Program.*  
*www.csis.org*

COLUMBIA UNIVERSITY, *New York, NY.*

RESEARCH AND DISSEMINATION ON THE EFFECTIVENESS OF PEACEKEEPING INTERVENTIONS IN SELF-DETERMINATION DISPUTES. NINETEEN MONTHS, \$171,300.

In the post-Cold War era, the international community began to incorporate a range of civilian functions—from electoral monitoring to refugee assistance—into traditional peacekeeping interventions in internal conflicts. To enhance the available scholarship on the effectiveness of international peacekeeping policies and contribute to related policy debates, scholars at Columbia University's Institute of War and Peace Studies are conducting a systematic assessment of peacekeeping operations and examining the implications of integrating civilian functions. Findings from the first project will be included in a forthcoming book; findings from both projects, which variously involve fact-finding trips, interviews and the preparation of case studies, will be submitted to academic and policy journals.

*Richard K. Betts, Director, Institute of War and Peace Studies.* *www.columbia.edu/cu/iwps*

COUNCIL ON FOREIGN RELATIONS, *New York, NY.*

DEVELOPMENT OF A WEB-BASED RESOURCE ON THE ROLE OF PARTITIONS IN ETHNIC CONFLICT AND POST-CONFLICT RECONSTRUCTION. TWO YEARS, \$200,000.

In Cyprus, India-Pakistan and more recently in Kosovo and East Timor, the use of partitions—the establishment of new boundaries between disputing groups—in resolving self-determination conflicts has

brought about a number of unanticipated problems. To establish a resource for comprehensive analysis of these conflicts and related policy responses, the Council on Foreign Relations' Peace and Conflict Studies program is creating a web site on the historical role of partitions and their contemporary relevance. The site, to include an index, hyperlinks and an online discussion forum, will comprise six sections: an overview, the histories of selected partitions, biographies of relevant states, groups and institutions, comparative analysis of selected negotiations, civil society initiatives and the new shape of partitions in the post-Cold War era.

*Radha Kumar, Fellow, Peace and Conflict Studies.*  
*www.foreignrelations.org*

UNIVERSITY OF DENVER, *Denver, CO.*

JOINT PROJECT WITH THE INTERNATIONAL PEACE ACADEMY ON SELF-DETERMINATION, SECURITY AND THE UNITED NATIONS. EIGHTEEN MONTHS, \$125,000.

The member countries of the UN often hold distinct views of sovereignty and its relationship to the rights of national groups within states to govern themselves. The misperception on the part of U.S. scholars and policymakers that their views are fully shared across cultures has complicated efforts to forge international consensus on a host of related concerns, especially regarding the criteria for external intervention in the internal affairs of states. The Graduate School of International Studies at the University of Denver, together with the International Peace Academy, is conducting a project to identify differences in viewpoint and promote international agreement. Project members are commissioning papers, organizing multinational dialogues of academic and policy experts and publishing a final monograph and policy report.

*Timothy D. Sisk, Senior Research Associate, Graduate School of International Studies.* *www.du.edu/gsis*



INTERHEMISPHERIC RESOURCE CENTER,  
*Silver City, NM.*

WEB-BASED RESEARCH AND ANALYSIS ON ETHNIC  
SELF-DETERMINATION. THIRTY MONTHS, \$200,000.

Foreign Policy in Focus, a joint project of the Interhemispheric Resource Center and the Institute for Policy Studies, is expanding its web site to include multiple disciplinary and institutional perspectives on conflicts and policies relating to claims of self determination and the sanctity of existing national borders. Members of the project, which has engaged over 700 U.S. and foreign scholars, analysts, government officials and journalists to address other areas of foreign policy, are commissioning a series of policy briefs, special reports and electronic publications to establish the comprehensive electronic resource on this set of issues. The goal is to create a synthesis of viewpoints that will help to shape coherent and effective policymaking.

*Martha Honey, Director, Peace and Security Program, Institute for Policy, Washington, DC. [www.foreignpolicy-infocus.org](http://www.foreignpolicy-infocus.org)*

JOHN HOPKINS UNIVERSITY, *Washington, DC.*

JOINT PROJECT WITH THE GLOBAL ENVIRONMENT  
AND ENERGY IN THE 21ST CENTURY ON WATER AND  
SECURITY IN SOUTH ASIA. TWO YEARS, \$400,000.

Although a number of formal water-sharing agreements have been established between the two largest states in the subcontinent, India and Pakistan, a host of technical and political issues have prevented successful implementation of the agreements. The South Asia Program of John Hopkins University's Paul H. Nitze School of Advanced International Studies, together with Global Environment and Energy in the 21<sup>st</sup> Century, a Hawaii-based research institute, is launching a "Track II," or unofficial diplomatic project to address the technical aspects of water management in the region. Members of the project, which brings together government officials, scholars, business leaders and other experts, will produce a final report to be disseminated to policymakers.

*Shirin Tahir-Kheli, Director, South Asia Program,  
Paul H. Nitze School of Advanced International Studies.  
[www.sais-jhu.edu](http://www.sais-jhu.edu).*

*Toufiq A. Siddiqi, President, Global Environment and  
Energy in the 21st Century, Honolulu, HI.*

OVERSEAS DEVELOPMENT COUNCIL,  
*Washington, DC.*

JOINT PROJECT WITH RICE UNIVERSITY ON U.S.  
NATIONAL INTERESTS IN ETHNIC CONFLICTS AND  
OTHER FORMS OF CIVIL WAR. ONE YEAR, \$73,500.

U.S. policy on intervention in ethnic disputes and other intrastate conflicts involving claims of self-determination has become a highly politicized issue in the post-Cold War era. Critics of the Clinton administration have argued that its approach lacks coherence and strategic vision. In response, the President has charged Congressional Republicans with a dangerous isolationism and rejection of America's leadership role in an increasingly interconnected world. To transform this polarized debate, build consensus across party lines and develop a credible set of principles to guide U.S. international engagement policy, the Overseas Development Council and Rice University are convening a bipartisan dialogue on policy options and implications. Participants will prepare a conference summary and undertake a range of public education activities.

*Michael H. C. McDowell, Project Deputy Director.  
[www.odc.org](http://www.odc.org)*

UNIVERSITY OF OXFORD, *Oxford, United Kingdom.*

RESEARCH ON THE IMPACT OF EXTERNAL CULTURE AND  
ECONOMICS ON ETHNIC SELF-DETERMINATION.  
TWO YEARS, \$292,200.

The perception of national identity integral to claims of self-determination is heavily influenced by the same global cultural forces that influence the decisions of external entities—nations, institutions and groups—to provide economic assistance in support of such claims. The Queen Elizabeth House, an international development center of Oxford University, is conducting a multidisciplinary and multinational research project to explore the complex linkages between cultural and economic forces and self-determination movements. The goal of the project, which entails several case studies and a review of the literature on the subject, is to prepare a policy relevant analysis of the findings.

*Frances Stewart, Director, International Development  
Centre, Queen Elizabeth House. [www.qeh.ox.ac.uk](http://www.qeh.ox.ac.uk)*

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA.*

RESEARCH AND ANALYSIS ON GLOBALIZATION'S EFFECTS ON ETHNOPOLITICS. TWO YEARS, \$248,000.

Researchers at the University of Pennsylvania's Solomon Asch Center for the Study of Ethnopolitical Conflict Analysis are using agent-based modeling to analyze the ways in which globalization may impact the prevalence and form of contemporary claims of self-determination. Adapting a model developed at the center—known as the “Agent-Based Identity Repertoire”—which has helped to challenge accepted notions of the immutability of ethnic distinction, the researchers are conducting a complex set of experiments about the effects of globalization on identity-based political movements and drawing conclusions about the implications of these effects for the stability of multinational states. Articles based on project findings will be disseminated to the scholarly and policymaking communities.

*Ian S. Lustick, Associate Director, Solomon Asch Center for Study of Ethnopolitical Conflict, Department of Political Science. [www.psych.upenn.edu/sacsec](http://www.psych.upenn.edu/sacsec)*

PRINCETON UNIVERSITY, *Princeton, NJ.*

AN INTERDISCIPLINARY EXAMINATION OF THE MULTIDIMENSIONAL CAUSES OF SELF-DETERMINATION CRISES. THIRTY-ONE MONTHS, \$308,000.

To address the emergence of ethnic identity as a political force in the post-Cold War era and develop policy options for responding to claims of self-determination, Princeton University's Liechtenstein Research Program on Self-Determination is conducting an extensive review of existing strategies, including international mandates, constitutional innovations and regional integration, and analyzing the effectiveness of each. A monograph on the project will be produced to serve as a comprehensive guide on local, regional and international reform options.

*Wolfgang Danspeckgruber, Director, Liechtenstein Research Program on Self-Determination. [www.wws.princeton.edu/~lrpsd](http://www.wws.princeton.edu/~lrpsd)*

SOCIAL SCIENCE RESEARCH COUNCIL, *New York, NY.*

PROJECT ON COOPERATIVE SECURITY IN NORTHEAST ASIA. THREE YEARS, \$300,000.

North Korea's missile program has been driven, in part, by its sense of vulnerability and isolation, a situation exacerbated by the existence of what Pyongyang sees as a hostile U.S.-backed government in Seoul. Recent U.S. efforts to negotiate with North Korea on limiting its missile development have been promising, however, and the Northeast Asia Cooperative Security Project of the Social Science Research Council aims to enhance the potential for formal international cooperation through a series of unofficial policy dialogues. Project staff members are commissioning papers from experts on security issues in the region and convening meetings that bring together leaders from the United States, North Korea, Japan and other countries in Northeast Asia. The papers and meetings will take into account political, economic and cultural priorities.

*Leon V. Sigal, Project Director. [www.ssrc.org](http://www.ssrc.org)*

STANFORD UNIVERSITY, *Stanford, CA.*

STUDY OF EXTERNAL INTERNATIONAL INTERVENTION IN REGIONAL ETHNIC DISPUTES. ONE YEAR, \$203,500.

External interventions in Kosovo and East Timor provide the most recent examples of the increasingly common propensity on the part of the international community to intercede in internal disputes on behalf of ethnic minorities claiming a right to self-determination. Research indicates, however, that because these interventions often rely on an inadequate understanding of the nature and cause of ethnicized conflicts, they can be ineffectual. Two political scientists from Stanford University, David D. Laitin and James D. Fearon, are examining self-determination disputes to identify previously overlooked forces that may contribute to internal conflicts and to develop a more useful model of intervention. The scholars are collecting data, analyzing case studies and conducting interviews with policymakers in the United States and elsewhere.

*David D. Laitin, Professor, and James D. Fearon, Associate Professor, Center for Advanced Study in the Behavioral Sciences.*



TEXAS TECH UNIVERSITY, *Lubbock, TX.*

PROJECT ON ETHNIC GROUPS AND POTENTIAL  
EXTERNAL SUPPORTERS. SEVEN MONTHS, \$54,000.

Stephen Saideman, a scholar at Texas Tech University, is undertaking a project to widen the field of study of ethnic conflict. He is recoding data provided by the Minorities at Risk (MAR) project at the University of Maryland and creating a new database, one that incorporates the ability to trace, among other unexamined factors that may contribute to interstate conflict, the conditions under which states decide to support ethnic groups who make claims of self-determination in other states. Saideman is also collecting data on ethnic groups and external supporters not covered by the MAR project. In addition to the database, two articles detailing the implications of his findings will be produced.

*Stephen M. Saideman, Assistant Professor, Department of Political Science. [www.ttu.edu/~polisci/saideman.htm](http://www.ttu.edu/~polisci/saideman.htm)*

TUFTS UNIVERSITY, *Medford, MA.*

PROJECT ON NEGOTIATING SELF-DETERMINATION.  
TWO YEARS, \$350,000.

The international community has yet to identify and establish mechanisms for resolving the growing number of conflicts between self-determination—the notion that a unique people deserve a unique state—and territorial integrity—the notion that state borders, once established, are inviolable. In the shadow of Kosovo, the Fletcher School of Law and Diplomacy at Tufts University, a leading center of scholarship on international affairs, is undertaking a project to explore the extent to which territorial integrity should be preserved and under what conditions other legitimate but conflicting claims might be accommodated. Scholars conducting the multidisciplinary study are analyzing existing research, drafting potential alternatives to violent conflict and convening working seminars of a wide range of experts to explore application of the project findings.

*Hurst Hannum, Professor of International Law, Fletcher School of Law and Diplomacy.*

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## Nonproliferation of Weapons of Mass Destruction

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UNIVERSITY OF BRADFORD,  
*West Yorkshire, United Kingdom.*

PROJECT ON PREVENTING THE PROLIFERATION OF  
BIOLOGICAL WEAPONS. TWO YEARS, \$200,000.

The development of a Verification Protocol for the Biological and Toxin Weapons Convention has been underway for over a decade. To ensure that the scientific, medical, political and other communities central to its adoption remain informed about the process, the University of Bradford's Department of Peace Studies publishes and posts official and related documents and analysis on its web site, jointly operated with the Stockholm International Peace Research Institute. Under this grant, the department's Project on Strengthening the Biological and Toxin Weapons Convention and Preventing Biological Warfare is expanding the site to include reviews of the draft of the protocol, examinations of the articles of the Convention for the 2001 Fifth Review Conference and coverage of emerging legislation needed to implement the protocol.

*Malcolm R. Dando, Professor of International Peace, Department of Peace Studies. [www.brad.ac.uk/acad/sbtwc](http://www.brad.ac.uk/acad/sbtwc)*

BRITISH AMERICAN SECURITY INFORMATION  
COUNCIL, *Washington, DC.*

ADVANCING THE RESEARCH AGENDA OF THE  
ORGANIZATION. TWO YEARS, \$150,000.

With offices in London and Washington, D.C., the British American Security Information Council (BASIC) offers a transatlantic security perspective in its analysis of nuclear policies, cooperative security arrangements and the conventional weapons trade. Staff members conduct extensive research and serve as reporters for BASIC's diplomatic newsletter, *Basic Reports*. To promote public awareness and informed debate of defense, disarmament and military issues, BASIC disseminates its publications to policymakers, journalists, academics and representatives of non-

governmental organizations; in addition, BASIC makes many of them available on the web. This grant will help support the activities of the research director, a recently developed position.

*Daniel T. Plesch, Director. [www.basicint.org](http://www.basicint.org)*

CENTER FOR POLICY STUDIES IN RUSSIA,  
*Moscow, Russia.*

NUCLEAR NONPROLIFERATION IN RUSSIA.  
TWO YEARS, \$150,000.

The Moscow-based Center for Policy Studies in Russia (PIR Center) analyzes emerging proliferation risks in Russia and provides public education and training on the subject to policymakers, experts and journalists, internationally. The goal is to encourage a culture of nonproliferation in Russia, which would help to reduce security threats posed by the region. In addition to newsletters, bulletins and other reports, the center publishes *Yaderny Kontrol*, a Russian-language journal that addresses international security, arms control and nonproliferation issues, and a digest of the journal in English. It is also launching a training program to educate young journalists and nuclear security and arms control specialists through a series of lectures and seminars.

*Vladimir A. Orlov, Director, Center for Policy Studies in Russia, c/o Sheri Decter, Center for Nonproliferation Studies, Monterey Institute of International Studies, Monterey, CA. [www.pircenter.org](http://www.pircenter.org)*

FEDERATION OF AMERICAN SCIENTISTS FUND,  
*Washington, DC.*

WORKING GROUP ON BIOLOGICAL WEAPONS  
VERIFICATION. TWO YEARS, \$212,000.

To strengthen the effectiveness of the 1972 Biological and Toxin Weapons Convention (BWC), the Federation of American Scientists Fund established the Working Group on Biological Weapons Verification. The group prepares working papers and reports that support the establishment and implementation of a BWC verification system. Its research, which bridges the gap between science and policy on technical issues, is used regularly to inform the work of the Ad Hoc Group (AHG), cre-

ated in 1993 to negotiate a legally binding verification protocol for the BWC. The group also serves as a liaison between AHG and health organizations and works with the U.S. bioindustry to develop safeguards for proprietary information that will not weaken compliance measures.

*Barbara Hatch Rosenberg, Chair, FAS Working Group on Biological Weapons. [www.fas.org](http://www.fas.org)*

HARVARD UNIVERSITY AND STANFORD UNIVERSITY,  
*Cambridge, MA. and Stanford, CA.*

RESEARCH AND WRITING ON INTERNATIONAL SECURITY  
BY ASHTON B. CARTER AND WILLIAM J. PERRY.  
TWO YEARS, \$400,000 (\$200,000 PER INSTITUTION).

To address recent changes in international relations, a joint team of researchers from Harvard and Stanford universities is reconfiguring a project on preventive defense. The project, which builds on previous research supported by the Corporation, is focusing on emerging long-term security concerns, including the unfolding multinational arms race in Northeast and South Asia, the North Korean nuclear arms program and developments on Russia's eastern flank—particularly the relationship between Russia and China and the attendant implications for the United States. Members of the project are convening a series of conferences and regular high-level dialogues with Russian and Chinese officials and policy experts. Policy reports and opinion pieces on the project will also be prepared.

*Ashton B. Carter, Codirector, Preventive Defense Project, John F. Kennedy School of Government, Harvard University. [www.preventivedefenseproject.org](http://www.preventivedefenseproject.org)*

*William J. Perry, Codirector, Preventive Defense Project, Institute for International Studies, Stanford University. [www.preventivedefenseproject.org](http://www.preventivedefenseproject.org)*



HARVARD UNIVERSITY AND UNIVERSITY OF SUSSEX,  
Cambridge, MA, and Brighton, United Kingdom.

HARVARD SUSSEX PROGRAM ON THE GLOBAL  
ELIMINATION OF BIOLOGICAL AND CHEMICAL WEAPONS.  
TWO YEARS, \$250,000 (\$120,100 TO HARVARD;  
\$129,900 TO THE UNIVERSITY OF SUSSEX).

The Harvard Sussex Program (HSP) promotes the global elimination of biological and chemical weapons through research, communications and training activities aimed at confronting the dangers of both existing weapons and the exploitation of biotechnology. Scholars from the universities conduct joint policy studies and maintain the Sussex Harvard Information Bank, a principle archival database on biological and chemical weapons. In addition, HSP publishes the *CBW Conventions Bulletin*, a quarterly journal that reports on related issues and covers the sessions of the Ad Hoc Group, the official body mandated to negotiate a verification system for the Biological and Toxin Weapons Convention.

*Matthew S. Meselson, Codirector, Harvard Sussex Program, Department of Molecular and Cellular Biology, Harvard University. [www.fas.harvard.edu/~hsp](http://www.fas.harvard.edu/~hsp)*

*J.P. Perry Robinson, Codirector, Harvard Sussex Program, SPRU, University of Sussex. [www.sussex.ac.uk/spru/hsp](http://www.sussex.ac.uk/spru/hsp)*

INSTITUTE FOR SCIENCE AND INTERNATIONAL  
SECURITY, Washington, DC.

NUCLEAR NONPROLIFERATION IN RUSSIA.  
TWO YEARS, \$170,000.

To help create and foster an export control infrastructure in Russia—and assuage the risk of nuclear-related materials and technologies spreading from Russia to proliferant countries—the Institute for Science and International Security is conducting an educational outreach project to make known proliferant states' strategies for obtaining nuclear weapons and technologies. In the first phase of the project, institute staff members are locating a partner organization in Russia. Together, the organizations will prepare reports for dissemination to Russian officials, exporters and stakeholders and conduct a series of topical seminars and workshops.

*David Albright, President. [www.isis-online.org](http://www.isis-online.org)*

NATIONAL ACADEMY OF SCIENCES,  
Washington, DC.

ACTIVITIES OF THE COMMITTEE ON INTERNATIONAL  
SECURITY AND ARMS CONTROL WITH CHINA AND  
RUSSIA. TWO YEARS, \$200,000.

The Committee on International Security and Arms Control of the National Academy of Sciences draws together scientists and policy analysts from the international scholarly community to address complex security issues and build cooperative responses through bilateral policy dialogues. Committee members and scientists and analysts from Russia are meeting to discuss the future of the Antiballistic Missile Treaty, increased arms reduction and nonproliferation efforts. The dialogue with China is focusing on missile proliferation and the ways in which national energy policies, particularly those involving nuclear energy, affect international security. Over the next two years, the committee will host delegations from Russia and China, including experts on nuclear weapons and ballistic missiles, and send its members to Moscow and Beijing to engage in policy studies with their Russian and Chinese counterparts.

*Jo L. Husbands, Staff Director, Committee on International Security and Arms Control. [www.nas.edu](http://www.nas.edu)*

NATIONAL ACADEMY OF SCIENCES,  
Washington, DC.

CONFERENCE ON TERRORISM. TWENTY MONTHS,  
\$160,000.

Despite other areas of disagreement, there is considerable bilateral cooperation between the United States and Russia on approaches to international terrorism. The National Research Council's Office for Central Europe and Eurasia, administered jointly by the National Academy of Sciences and the National Academy of Engineering, is conducting a workshop in collaboration with the Russian Academy of Sciences on the potential uses of technical, legal and social science-based analysis in addressing terrorism. The international implications of terrorism in Russia will also be covered.

*Glenn E. Schweitzer, Director, Office for Central Europe and Eurasia, National Research Council, Washington, DC. [www.national-academies.org](http://www.national-academies.org)*

NATIONAL ACADEMY OF SCIENCES,  
Washington, DC.

STUDY TO ADDRESS THE PRINCIPAL TECHNICAL  
CONCERNS RAISED DURING THE DEBATE OVER  
RATIFICATION OF THE COMPREHENSIVE TEST BAN  
TREATY. SEVEN MONTHS, \$50,000.

General John Shalikashvili, former chairman of the Joint Chiefs of Staff, is special advisor to the President and to the Secretary of State on issues pertaining to the Comprehensive Test Ban Treaty (CTBT). In that capacity, he will engage in nonpartisan dialogue with members of Congress to study the future prospects for the treaty. To inform the dialogue, Shalikashvili has requested a number of studies, including one from the National Academy of Sciences, that will review the state of knowledge about technical concerns raised in the Senate debate over the CTBT. A panel consisting of members of the academy's Committee on International Security and Arms Control and members of academy studies on seismic verification and stockpile stewardship will conduct the review.

*Jo L. Husbands, Director, Committee on International Security and Arms Control. (202) 334-2811.*

PRINCETON UNIVERSITY, Princeton, NJ.

SUPPORT OF SOUTH ASIAN SCHOLARS IN RESEARCH  
AND TRAINING ON NEW POLICY INITIATIVES.  
ONE YEAR, \$169,400.

Through research and analysis, Princeton University's Program on Nuclear Policy Alternatives has helped to phase out the practice of separating plutonium from the spent fuel of nuclear power reactors, establish a ban on the production of fissile materials for nuclear weapons, ensure a transparent and permanent elimination of excess U.S. and Russian nuclear warheads and remove U.S. and Russian strategic nuclear missiles from launch-on-warning alert. The program's international team of experts and scholars, which includes visiting physicists from China, India, Pakistan and South Korea, is undertaking a series of studies of nuclear power in India, Pakistan and South Korea. With this grant, the program's host institution, the Center for Energy and Environmental Studies, is extending the visits of the South Asian physicists through the summer of 2001.

*Frank von Hippel, Professor, and Harold A. Feiveson, Senior Research Policy Analyst, Center for Energy and Environmental Studies. [www.princeton.edu/~cees](http://www.princeton.edu/~cees)*

RUSSIAN AMERICAN NUCLEAR SECURITY ADVISORY  
COUNCIL, Princeton, NJ.

PROJECT TO ADDRESS PROBLEMS IN NUCLEAR CITIES IN  
RUSSIA. TWO YEARS, \$200,000.

The core of the Russian nuclear weapons complex consists of ten closed cities in which the Soviet Union's nuclear weapons were researched, developed, tested and produced. The United States and Russia established the Nuclear Cities Initiative to foster the downsizing and redirecting of the complex, which continues to be an international security concern. To complement the official activities of the initiative, the Russian American Nuclear Security Advisory Council is developing a consortium of academic and nongovernmental organizations (NGOs) to help identify alternative uses of the cities' scientific and technical talents. The consortium is also undertaking public education activities about the project to help coordinate the efforts of the U.S., Russian and other governments, national laboratories, NGOs and the media.

*Kenneth N. Luongo, Executive Director, Russian American Nuclear Security Advisory Council, Princeton University. [www.princeton.edu/~ransac](http://www.princeton.edu/~ransac)*

HENRY L. STIMSON CENTER, Washington, DC.

PROJECT ON CHEMICAL AND BIOLOGICAL WEAPONS  
NONPROLIFERATION. TWO YEARS, \$300,000.

The Henry L. Stimson Center's Chemical and Biological Weapons Nonproliferation Project prepares and disseminates analysis of chemical and biological weapons issues to policymakers and journalists to enhance U.S. support of strong international nonproliferation measures. Recent publications include *Rudderless: The Chemical Weapons Convention at One and a Half* and *Biological Weapons Proliferation: Reasons for Concern, Courses of Action*. In addition to examining terrorism response procedures in the United States, project staff members are monitoring the state of implementation of the Chemical Weapons Convention and following the progress of the Geneva Protocol, a



multinational effort to develop a verification system for the 1972 Biological and Toxin Weapons Convention.

*Amy E. Smithson, Senior Associate. [www.stimson.org](http://www.stimson.org)*

HENRY L. STIMSON CENTER, *Washington, DC.*

PROJECT ON SOUTH ASIA. TWO YEARS, \$300,000.

Although deadly conflict in the post–Cold War era occurs primarily within rather than between states, the bilateral tension in South Asia, where India and Pakistan have gone to war four times since independence in 1947, remains dangerously significant. With Corporation support, the Henry L. Stimson Center has been working since 1991 to promote confidence-building measures (CBM) between India and Pakistan, focusing on dialogues that address the most serious concerns—the nuclear weapons programs on both sides and the disputed province of Kashmir. Center staff members conduct a series of consultations with leaders in the region, publish books, reports and articles and through a fellowship program bring Indian and Pakistani journalists, academics and officials to Washington, D.C. for research and training in CBM implementation.

*Michael Krepon, President Emeritus. [www.stimson.org](http://www.stimson.org)*

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## Russia and Other Post-Soviet States

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AMERICAN ACADEMY OF ARTS AND SCIENCES,  
*Cambridge, MA.*

PROJECT ON STABILITY IN THE POST-SOVIET TERRITORY.  
THREE YEARS, \$548,400.

Policies and conditions within each of the states of the former Soviet Union reverberate across national borders, impacting the whole region. In addition, relationships between the states help to shape both international policy in the region and the international community's perception of and approach to the post-Soviet territory. To explore these regional dynamics and the attendant international implications, the American Academy of Arts and Sciences is undertaking

a project that brings together scholars from the United States and the countries of the former Soviet Union.

The team of researchers, led by Robert Legvold of the academy and Columbia University, will conduct a series of case studies and prepare several books for dissemination to policymakers.

*Robert Legvold, Vice Chairman, Committee for International Security Studies. [www.amacad.org](http://www.amacad.org)*

ASPEN INSTITUTE, *Washington, DC.*

INTERNATIONAL ACTIVITIES OF THE CONGRESSIONAL PROGRAM. ONE YEAR, \$602,000.

In 1984 former U.S. senator Dick Clark established the Aspen Institute's Congressional Program to improve congressional understanding of and engagement with the Soviet Union. Today, the program aims to cultivate informed foreign policy decision making among members of Congress. It convenes bipartisan conferences, bringing together lawmakers from the Senate and the House and academic specialists to address a range of domestic and foreign policy issues. The 2000 conference in Prague will focus on U.S. relations with the successor states of the Soviet Union. In addition, the program holds breakfasts on Capitol Hill, at which guest speakers brief members of Congress on current issues of importance for U.S. foreign policy.

*Dick Clark, Director, Congressional Program. [www.aspeninstitute.org](http://www.aspeninstitute.org)*

ASPEN INSTITUTE, *Washington, DC.*

DISCUSSIONS BETWEEN U.S. AND RUSSIAN POLICYMAKERS CONDUCTED BY THE ASPEN STRATEGY GROUP. ONE YEAR, \$300,000.

The Aspen Strategy Group, a standing committee of the Aspen Institute, provides an unofficial channel for communication between U.S. and Russian leaders and policy analysts through its U.S.–Russia dialogue project. Members of the project meet biannually in Moscow and in Washington, D.C. to generate joint proposals and initiatives that address critical geopolitical, security and economic issues. The dialogues, essential to international security relations, are followed by post-session reports and briefings disseminated to government offi-

cials in both countries. The Council on Foreign and Defense Policy in Moscow co-administers the project.

*Mary McKinley, Program Coordinator,  
Aspen Strategy Group. [www.aspeninst.org](http://www.aspeninst.org)*

ASPEN INSTITUTE BERLIN, *Berlin, Germany.*

GERMAN-AMERICAN-RUSSIAN POLICY DIALOGUE.  
TWO YEARS, \$400,700.

The Aspen Institute Berlin, the German member of the Aspen global network, is establishing a German-American-Russian dialogue aimed at engaging a new generation of leaders from the three countries in policy discussions. The project brings together ten participants from each country, including representatives of academia, business and finance, multilateral institutions and the media, to address such topics as arms control, debt relief for Russia, European integration, international law and the emergence of nationalism. The dialogue will result in published policy recommendations intended to chart a course for trilateral relations in the next decade.

*Catherine McArdle Kelleher, Director. [www.aspenberlin.org](http://www.aspenberlin.org)*

UNIVERSITY OF CALIFORNIA, *Berkeley, CA.*

PROGRAM IN SOVIET AND POST-SOVIET STUDIES.  
TWO YEARS, \$300,000.

The drastic changes underway in the former Soviet Union, with its vast size, wealth of resources and nuclear arsenal, call for solid expertise on this turbulent part of the world. Over the years, the Program in Soviet and Post-Soviet Studies at the University of California, Berkeley, has trained an outstanding cadre of young scholars, many of whom now hold positions in major American universities and research institutes. The program provides intensive instruction on the languages, histories and cultures of the region, drawing on social science methods and theories. This grant is supporting graduate student fellowships, a biweekly research seminar, visiting appointments and the publication of graduate student working papers.

*Victoria E. Bonnell, Chair, Berkeley Program in Soviet and Post-Soviet Studies. <http://garnet.berkeley.edu/~bsp>*

CENTER FOR DEFENSE INFORMATION,  
*Washington, DC.*

ELECTRONIC NEWS SERVICES ON CONTEMPORARY  
RUSSIA. TWO YEARS, \$150,000.

To offer timely news and assessment of developments in Russia, the Center for Defense Information offers two online newsletters. The *CDI Russia Weekly*, available on the center's web site and by e-mail to subscribers, covers economic, social, military and policy issues pertinent to contemporary Russia. Contributors include journalists and scholars from the United States, Russia and elsewhere. *Johnson's Russia List* is a daily newsletter, available by e-mail, that features news and articles selected from other online sources. Together, the two publications provide comprehensive coverage of Russia to an international readership of 6,500. Center staff members are expanding circulation, conducting outreach to Russian contributors and readers, establishing an online searchable archive and broadening the center's funding sources.

*David Johnson, Senior Fellow. [www.cdi.org](http://www.cdi.org)*

COUNCIL ON FOREIGN RELATIONS,  
*Washington, DC.*

PROGRAM ON NEW APPROACHES TO RUSSIAN SECURITY.  
ONE YEAR, \$357,800.

Understanding Russia—its security concerns, foreign policy, economic situation and social issues—remains crucial to policymaking in the West. The Program on New Approaches to Russian Security (PONARS), formerly based at Harvard University's Davis Center for Russian Studies, was created in 1997 to ameliorate declining interest in the study of Russia in the post-Cold War era and increase the contributions American scholars of Russia can make to U.S. foreign policy. Now housed at the Council on Foreign Relations, PONARS brings together a group of young social scientists from the United States and Russia for annual academic and policy-oriented conferences to cross-fertilize their research, advance their professional development and strengthen their connections to policy communities in the United States and Russia. The program also publishes a series of working paper and policy memos.

*Celeste A. Wallander, Senior Fellow. [www.foreignrelations.org](http://www.foreignrelations.org)*



FINANCIAL SERVICES VOLUNTEER CORPS,  
New York, NY

STUDY OF RUSSIA'S SECURITY, ECONOMIC AND BANKING  
CRISES. TEN MONTHS, \$250,000.

As part of the Corporation's Russia Initiative, which aims to take a comprehensive look at Russia's political, economic and social challenges and develop a set of coherent policy options for the West and Russia, a group of scholars is conducting an integrated study of the crises in Russia's security, economic and banking spheres. The study focuses on the interdependence of these problems, seeking to identify, in turn, how security needs have thwarted economic reform, how economic decline has affected national security and how a complex set of financial, economic and strategic issues have impacted the banking system. A final report, to be published in English and Russian, will encapsulate the study's main findings and make policy recommendations. The Financial Services Volunteer Corps provides administrative and financial oversight to the project.

*J. Andrew Spindler, Executive Director. [www.fsvc.org](http://www.fsvc.org)*

GEORGE WASHINGTON UNIVERSITY,  
Washington, DC.

STUDY GROUP ON STATE BUILDING IN RUSSIA.  
ELEVEN MONTHS, \$250,000.

Among the challenges facing Russia is the state of its federal structure. Comprising eighty-nine regions, some of which are defined by territory and some by ethnic groups, Russia is experiencing increasingly complex internal cleavages. This grant, part of the Corporation's Russia Initiative, supports a study on state building in Russia. In addition to exploring Russia's options for the future, which range from the break up of the country to the reimposition of centralized control, the study will examine levels of fragmentation in the regions and the condition of institutions designed to build and maintain national cohesion. The study, to be published in English and Russian, is aimed at providing U.S. policymakers with guidelines for assisting Russia more effectively. George Washington University provides administrative and financial oversight.

*Peter Reddaway, Professor of Political Science, Institute for European, Russian and Eurasian Studies, Elliott School of International Affairs.*

HARVARD UNIVERSITY, Cambridge, MA.

PROGRAMS WITH RUSSIAN MILITARY PERSONNEL AND  
POLICYMAKERS ON FOREIGN AND SECURITY POLICIES.  
TWO YEARS, \$1,160,000.

Each year, the John F. Kennedy School of Government at Harvard University convenes two executive programs, one for members of the Russian general staff and one for representatives of Russia's parliament. The military program joins twenty-five Russian generals and American officers from the four branches of the U.S. military for a two-week session of lectures and discussions on military, political, economic and foreign policy issues. The Duma program introduces twenty-five members of the Russian parliament drawn from across the political spectrum to the U.S. system of governance, including the political party system and the congressional committee structure and procedures. The programs are administered in cooperation and on a cost-sharing basis with U.S. and Russian governmental agencies.

*Robert D. Blackwill, Belfer Lecturer in International Security, Faculty Chair, US-Russian National Security Project, Director of Russian Executive Program, John F. Kennedy School of Government. [www.ksg.harvard.edu](http://www.ksg.harvard.edu)*

HARVARD UNIVERSITY, Cambridge, MA.

BLACK SEA SECURITY PROGRAM. TWO YEARS, \$464,900.

To assist post-Soviet countries in building intellectual and bureaucratic infrastructures that can support emerging political and economic institutions congruous with pluralistic democratic societies, Harvard University's John F. Kennedy School of Government has established the Black Sea Security Program. An outgrowth of the Kennedy School's Ukrainian National Security Program, it brings together military officers and civilian officials from the region and experts from the United States and other Western nations for conferences and workshops that address economic and military reform, cooperative security and global and regional strategic issues. In its first year,

the project is focusing on Ukraine, Moldova, Georgia and Armenia.

*Nancy A. Huntington, Director, Ukrainian Security Program, John F. Kennedy School of Government.*

INSTITUTE FOR EASTWEST STUDIES,  
New York, NY.

PROJECT ON THE SECURITY OF THE BLACK SEA REGION.  
TWO YEARS, \$332,400.

Regional security in the post-Cold War era has become increasingly central to global security. The Institute for EastWest Studies (EastWest Institute), which focuses on these and other issues in Eastern and Central Europe and Eurasia, has established the Black Sea Strategy Group to help strengthen promising cooperative security developments in the Black Sea region. The group is convening a series of unofficial policy dialogues that bring together government officials, academics, business leaders and other experts from the countries—as well as representatives of international and regional organizations like NATO and the Black Sea Economic Council—to identify obstacles to regional cooperation and formulate recommendations. Regular meeting reports, policy briefs and a final volume on the project will be produced.

*Oleksandr Pavliuk, Director, Kyiv Centre, and Deputy Director, International Security Program. [www.iewe.org](http://www.iewe.org)*

LAWYERS ALLIANCE FOR WORLD SECURITY,  
Washington, DC.

STRENGTHENING CONSTITUTIONAL DEMOCRACY  
IN RUSSIA. TWO YEARS, \$250,000.

To strengthen Russia's constitutional norms and practices—and thus help Russia to foster a pluralistic society based on rule of law—the Lawyers Alliance for World Security, together with selected Russian experts and policy officials, is launching a project to enhance legal expertise and improve the compatibility of federal and regional legal systems in Russia. Central to the project is the establishment of linkages through a series of meetings and study groups between U.S. and Russian constitutional law experts and other specialists. Joint analysis of Russia's Constitutional Court rulings

and joint assessments of Russia's regional statutes in relation to its federal constitution will be prepared. An American-Russian core group of project members, to meet regularly in Washington, D.C., and Moscow, is managing the project.

*Thomas Graham, President, Committee for National Security. [www.lawscns.org](http://www.lawscns.org)*

NATIONAL BUREAU OF ASIAN RESEARCH,  
Seattle, WA.

STUDY OF SOCIAL COHESION IN RUSSIA.  
FIFTEEN MONTHS, \$250,000.

Russia's transition to a new economic and political model in the wake of Communism has ushered in a period of social stress, resulting in both an increase in familiar problems and in the emergence of new afflictions, including poverty, family breakdown and environmental degradation. Most dramatic among these is an upsurge in the country's death rates. To address the economic, political and strategic implications of Russia's social problems and formulate recommendations for policymakers in the United States and Russia, a group of experts is undertaking a three-part study. The project, part of the Corporation's Russia Initiative, entails an examination of Russia's mortality crisis, the state of its "social capital" and the ramifications of these issues for Russia's children. The National Bureau of Asian Research provides oversight to the project.

*Richard J. Ellings, President. [www.nbr.org](http://www.nbr.org)*

NATIONAL SECURITY ARCHIVE FUND,  
Washington, DC.

RUSSIA AND FORMER SOVIET UNION INITIATIVE.  
TWO YEARS, \$500,000.

The National Security Archive at George Washington University promotes the expansion of public access to government materials by locating, archiving and publishing declassified documents in the United States and internationally. Since the end of the Cold War, the archive has been working with partner organizations in Russia and the former Soviet Union to promote greater openness of official Soviet materials and to



make them available to researchers of contemporary history. The goal, in part, is to establish and disseminate a diversity of perspectives on international affairs. The archive's programs in Russia and the other former Soviet states are spearheaded by two researchers affiliated with the archive—Vladislav Zubok, a Russian historian, and Vojtech Mastny, a Czech–American scholar and expert on Russia.

*Thomas S. Blanton, Executive Director, National Security Archive Fund, George Washington University.*  
[www.gwu.edu/~nsarchiv](http://www.gwu.edu/~nsarchiv)

NEW YORK UNIVERSITY, *New York, NY.*

RESEARCH AND DISSEMINATION ON GOVERNANCE  
IN RUSSIA. TWO YEARS, \$399,800.

Although democracy is manifest in Russia's electoral process and freedom of the press, the country's reform efforts have not achieved the development of political parties, interest groups and an assertive legislature. Two American senior scholars on Russia—Stephen Holmes, professor of law at New York University's School of Law, and Timothy J. Colton, director of Harvard University's Davis Center for Russian Studies—are working with a group of young scholars from the United States and Russia to explore policymaking in Russia's executive agencies, including military reform, environmental protection, health and administration of justice. The goal of the project, which entails conferences in Moscow and New York and the publication of papers, is to investigate the causes and consequences of ineffective governance in Russia.

*Stephen Holmes, Professor of Law, New York University School of Law.*

*Timothy J. Colton, Director, Davis Center for Russian Studies, Harvard University.*

WOODROW WILSON INTERNATIONAL CENTER FOR  
SCHOLARS, *Washington, DC.*

STUDY OF POLITICAL DEMOCRATIZATION AND  
ECONOMIC REFORM IN RUSSIA.  
TEN MONTHS, \$250,000.

One of the questions facing Russia is whether movement toward political democracy is compatible with

movement toward a market economy. Does one preclude the other? Is one a precondition of the other? Do they facilitate one another? These questions are at the core of a study group's work on the relationship between political democratization and economic reform in Russia. After analyzing the relationship, the group will develop a set of policy recommendations for the West and Russia, to be made available in English and in Russian. The group, formed in 1999 as part of the Corporation's Russia Initiative, comprises scholars, journalists and other policy and economics experts. The Kennan Institute for Advanced Russian Studies of the Woodrow Wilson International Center for Scholars is administering the project.

*Blair A. Ruble, Director, Kennan Institute for Advanced Russian Studies. [www.wwics.si.edu](http://www.wwics.si.edu)*

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## Other

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HUMAN RIGHTS WATCH, *New York, NY.*

SUPPORT (FINAL). TWO YEARS, \$500,000.

Since the adoption of the Universal Declaration of Human Rights in 1950, the international community has made significant strides in protecting human rights. There are, however, egregious exceptions, both in the case of victims of war—Kosovo, East Timor and Chechnya—and in the case of “apolitical” victims—prisoners, refugees and gays and lesbians. The New York-based Human Rights Watch, which advocates universal human rights, researches, monitors and exposes human rights abuses. With this final grant, the organization is diversifying its strategies for addressing human rights in particularly complex states, concentrating, for instance, on developing greater transparency in arms trade and military assistance programs and strengthening the capacity of indigenous nongovernmental organizations focused on human rights.

*Kenneth Roth, Executive Director. [www.hrw.org](http://www.hrw.org)*

LAWYERS COMMITTEE FOR HUMAN RIGHTS,  
*New York, NY.*

SUPPORT (FINAL). TWO YEARS, \$200,000.

Since 1978 the Lawyers Committee for Human Rights has worked to protect and promote fundamental human rights; its programs promote accountability at the international level, protect human rights at the national level and augment human rights protection in the United States. Over the next two years, the committee's goal is to broaden public awareness of and support for the International Criminal Court and to strengthen the ad hoc international criminal tribunals for Rwanda and the former Yugoslavia. It is also developing an international monitoring and enforcement system to protect workers' rights, and promoting the importance of human rights to the U.S. national interest. The committee is conducting an internal review in an effort to improve its strategies and expand its base of individual donors.

*Michael Posner, Executive Director. [www.lchr.org](http://www.lchr.org)*

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## Discretionary Grants

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BRITISH AMERICAN SECURITY INFORMATION  
COUNCIL, *Washington, DC*

FOR A RESEARCH PROJECT ON THE VERIFICATION  
PROTOCOL OF THE BIOLOGICAL AND TOXIN WEAPONS  
CONVENTION, \$14,000

FINANCIAL SERVICES VOLUNTEER CORPS,  
*New York, NY*

FOR PLANNING A MULTIDISCIPLINARY STUDY OF THE  
RELATIONSHIP BETWEEN THE SECURITY AND ECONOMIC  
PROBLEMS OF RUSSIA, \$25,000

GEORGE WASHINGTON UNIVERSITY, *Washington, DC*

FOR PLANNING A STUDY GROUP ON STATE-BUILDING IN  
RUSSIA, \$18,400

HARVARD UNIVERSITY, *Cambridge, MA*

TOWARD THE WOMEN WAGING PEACE INITIATIVE,  
\$25,000

HARVARD UNIVERSITY, *Cambridge, MA*

AS A FINAL GRANT TOWARD A WORKING GROUP ON  
ISRAELI-PALESTINIAN RELATIONS, \$25,000

HUNTER COLLEGE OF THE CITY UNIVERSITY OF  
NEW YORK, *New York, NY*

TOWARD RESEARCH AND WRITING BY SUMIT GANGULY  
ON THE INDO-PAKISTANI CONFLICT, \$15,000

INSTITUTE FOR EASTWEST STUDIES (EASTWEST  
INSTITUTE), *New York, NY*

FOR THE TRANSLATION INTO RUSSIAN OF PUBLISHED  
VOLUMES ON RUSSIA'S SECURITY ENVIRONMENT ON  
ITS WESTERN, SOUTHERN AND EASTERN BOUNDARIES,  
\$24,000

JOHN HOPKINS UNIVERSITY, *Baltimore, MD*

TOWARD PLANNING A PROJECT ON ISSUES OF WATER  
SCARCITY IN SOUTH ASIA, \$25,000

LAWYERS ALLIANCE FOR WORLD SECURITY, INC.,  
*Washington, DC*

TOWARD PLANNING A PROJECT ON RUSSIAN  
CONSTITUTIONAL PRACTICES, \$25,000

LAWYERS ALLIANCE FOR WORLD SECURITY, INC.,  
*Washington, DC*

TOWARD CONSULTATIONS IN GERMANY AND ITALY  
ABOUT NATO'S POLICY ON THE USE OF NUCLEAR  
WEAPONS, \$20,000

UNIVERSITY OF MARYLAND, *College Park, MD*

FOR A WORKSHOP ON ESTABLISHING A DATA SET ON  
INTRASTATE AND INTERNATIONAL NEGOTIATION AND  
MEDIATION, \$15,000



NATIONAL BUREAU OF ASIAN RESEARCH, *Seattle, WA*

FOR PLANNING A STUDY OF SOCIAL COHESION IN  
RUSSIA, \$24,500

PENNSYLVANIA STATE UNIVERSITY,  
*University Park, PA*

TOWARD PUBLICATION IN ENGLISH OF THE COMPLETE  
MEMOIRS OF NIKITA KHRUSHCHEV, \$25,000

PHYSICIANS FOR HUMAN RIGHTS, *Boston, MA*

TOWARD AN INVESTIGATION OF MEDICAL NEUTRALITY  
IN KOSOVO, \$25,000

PLOUGHSHARES FUND, *San Francisco, CA*

TOWARD THE PEACE AND SECURITY FUNDERS GROUP,  
\$25,000

PLOUGHSHARES FUND, *San Francisco, CA*

TOWARD A PROJECT ON Y2K PREPAREDNESS AND  
EMERGENCY RESPONSE IN RUSSIA, \$24,000

RUTGERS UNIVERSITY, *New Brunswick, NJ*

TOWARD AN ARCHIVAL PROJECT ON RUSSIAN POLITICAL  
PARTIES, \$16,500

HENRY L. STIMSON CENTER, *Washington, DC*

TOWARD A CONFERENCE ON NATIONAL MISSILE DEFENSE  
AND TRANSATLANTIC RELATIONS, \$25,000

IFDES CENTER, *San Francisco, CA*

FOR A PLANNING CONFERENCE HOSTED BY THE  
RUSSIAN-AMERICAN NUCLEAR SECURITY ADVISORY  
COUNCIL ON DEVELOPMENT OF A NONGOVERNMENTAL  
CONSORTIUM IN SUPPORT OF THE U.S.-RUSSIAN  
NUCLEAR CITIES INITIATIVE, \$25,000

UNIVERSITY OF VICTORIA, *Victoria, Canada*

TOWARD RESEARCH AND WRITING ON RELIGION AND  
PEACEBUILDING, \$25,000

WOODROW WILSON INTERNATIONAL CENTER FOR  
SCHOLARS, *Washington, DC*

FOR PLANNING A STUDY ON POLITICAL DEMOCRATIZA-  
TION AND ECONOMIC REFORM IN RUSSIA, \$21,500

WORLD AFFAIRS COUNCIL OF NORTHERN  
CALIFORNIA, *San Francisco, CA*

TOWARD A CONFERENCE ON KOREA, \$25,000

WORLD AFFAIRS COUNCIL OF NORTHERN  
CALIFORNIA, *San Francisco, CA*

TOWARD A CONFERENCE ON U.S. NATIONAL SECURITY  
INTERESTS AND POLICIES, \$25,000

WORLD FEDERALIST MOVEMENT, *New York, NY*

TOWARD THE HAGUE APPEAL FOR PEACE, \$25,000

## Electoral Reform

ALLIANCE FOR BETTER CAMPAIGNS,  
Washington, DC.

PUBLIC EDUCATION AND LOCAL ORGANIZING AROUND AN EFFORT TO CHALLENGE TELEVISION BROADCASTERS TO AIR MORE CANDIDATE DISCOURSE DURING THE 2000 CAMPAIGN. ONE YEAR, \$150,000.

The Alliance for Better Campaigns is a coalition of national organizations and civic, political, academic and religious leaders that encourages local and national television broadcasters to voluntarily air at least five minutes of candidate-centered programming each night during the month preceding primary and general elections. During the 2000 elections, the alliance is documenting the number of campaign advertisements aired by stations—and the amount of revenue acquired from such advertising—and comparing it to the amount of candidate discourse each station provides. Corporation funds support development of tools from the resulting data that will assist citizens' requests for more substantive candidate coverage in four targeted cities.

*Paul Taylor, Executive Director. [www.bettercampaigns.org](http://www.bettercampaigns.org)*

AMERICAN PROSPECT, Boston, MA.

DEVELOPMENT AND DISSEMINATION OF A SERIES OF ARTICLES AND A SPECIAL ISSUE FOCUSED ON ELECTORAL AND CAMPAIGN FINANCING REFORM. ONE YEAR, \$132,000.

Founded in 1989, *The American Prospect* is a nonprofit biweekly magazine containing articles on a wide range of public policy issues. In the coming year and featuring a variety of voices, the magazine is producing a series of articles and a special issue on electoral and campaign financing matters. The special issue builds on a previous issue on campaign financing, published in 1995. The organization is also conducting comprehensive outreach efforts to ensure these materials reach a diverse and influential audience, including policymakers,

advocates, funders, nonprofit leaders, researchers, columnists, reporters and the public.

*Robert Kuttner, President and Co-editor. [www.prospect.org](http://www.prospect.org)*

APPLESEED FOUNDATION, Washington, DC.

APPLESEED ELECTORAL REFORM PROJECTS.  
THREE YEARS, \$150,000.

The Appleseed Foundation was founded in 1993 to help businesses and the private bar organize public interest law centers that develop and facilitate systemic solutions to social and political problems. To date the foundation has helped launch fifteen state-level Appleseed Centers, many in the plains states and the South, where there are few public interest advocates. This grant supports the Appleseed Foundation's electoral reform projects, which aim to increase technical assistance to those working in the electoral reform area and to expand the community of electoral reform activists and experts. The projects, which are based at the law schools of Harvard and American University, use research, course work and conferences to engage law faculty and students on a wide range of political reform issues, including campaign finance reform, proportional representation, voting rights and redistricting.

*Linda Singer, Executive Director. [www.appleseeds.net](http://www.appleseeds.net)*

BRIGHAM YOUNG UNIVERSITY, Provo, UT.

STUDY OF THE PUBLIC'S USE OF POLITICAL WEB SITES IN 2000. ONE YEAR, \$300,700.

Two political scientists—Richard Davis of Brigham Young University and Bruce Bimber of the University of California, Santa Barbara—are undertaking a project to examine the impact of the Internet on political participation. They are analyzing the scope and usefulness of information available on presidential campaign web sites and the rhetorical strategy and graphic design employed to present the information. In addition, they are reviewing the literature on the intersection of the Internet and political campaigns, conducting a random survey of visitors to political web sites, particularly



during the general presidential campaign, and, through focus groups, assessing the public's use of nonpartisan political web sites, including the Democracy Network (DNet) and Project Vote Smart, both recipients of Corporation funding.

*Richard Davis, Department of Political Science.*

*Bruce Bimber, Department of Political Science, University of California, Santa Barbara, CA.*

CENTER FOR NATIONAL INDEPENDENCE IN  
POLITICS, *Philipsburg, MT.*

GENERAL SUPPORT (FINAL). THREE YEARS, \$300,000.

The Center for National Independence in Politics is a nonpartisan, nonprofit organization that aims to provide the public with independent, factual information about local, state and federal political candidates. To counter the insufficient data available elsewhere, the project offers access to candidates' biographies, voting records, campaign financing and performance evaluations through its web site, a toll-free hotline and publications. For the 1998 elections, the project profiled more than 12,000 candidates in all fifty states through its National Political Awareness Test, which gives voters access to candidates' positions on the issues most likely to emerge in the next legislative session.

*Richard Kimball, Executive Director. [www.vote-smart.org](http://www.vote-smart.org)*

CENTER FOR RESPONSIVE POLITICS,  
*Washington, DC.*

SUPPORT. THREE YEARS, \$450,00.

The primary activities of the Center for Responsive Politics include researching and compiling campaign finance data for public dissemination and providing training to journalists on campaign contributions to strengthen news media coverage of the role of money in politics. In 1998 the center made its research on "soft money," political action committees and federal campaign contributions available on its award-winning web site. The center has also begun an innovative partnership with the National Institute for Money in State Politics, which provides information on and analysis of state level campaign contributions. Together, the organizations are launching multiple web sites that will

combine and post data on federal and state political campaign contributions.

*Larry Noble, Executive Director. [www.opensecrets.org](http://www.opensecrets.org)*

DEMOCRACY 21 EDUCATION FUND,  
*Washington, DC.*

STUDY OF THE LIMITS OF THE FEDERAL ELECTION  
COMMISSION. ONE YEAR, \$150,000.

To develop a blueprint for effectively enforcing the United States' federal campaign financing laws, the Democracy 21 Education Fund is assembling a working group of prominent campaign finance experts, lawyers and regulators. The group is focused on formulating solutions to the structural problems within the current Federal Election Commission (FEC), which is charged with enforcing the nation's campaign financing laws, streamlining enforcement procedures to allow for timely investigations and sanctions and protecting those with enforcement responsibility from political retaliation. The final report may be considered as a model for state regulatory agencies.

*Fred Wertheimer, President.*

FREEDOM CHANNEL, *Washington, DC.*

TOWARD DEVELOPMENT. FIFTEEN MONTHS, \$100,000.

Convergence technology is becoming more sophisticated and expanding rapidly. In an effort to maximize potential uses of the new technology for American politics, Douglas L. Bailey and Roger Craver, founders of the National Journal Group's online briefing, *The Hotline*, are launching a nonpartisan Internet site on the 2000 elections that will feature free video-on-demand. Federal and gubernatorial candidates will be encouraged to submit 90-second video statements to the site on a range of issues, including those specified by voters in regular polling. Party committees, political action committees, and issue advocacy groups will also have the opportunity to provide short video clips. The site, called FreedomChannel.com, will also make all statements available to local media outlets in audio and transcript format.

*Douglas L. Bailey, President. [www.freedomchannel.com](http://www.freedomchannel.com)*

INSTITUTE FOR GLOBAL ETHICS,  
*Camden, ME.*

IMPLEMENTING A MODEL CANDIDATE CODE OF  
CONDUCT IN OHIO DURING 2000 LOCAL ELECTIONS.  
ONE YEAR, \$201,100.

The Institute for Global Ethics has developed a model for encouraging political candidates to draft, sign and follow codes of conduct during campaigns. Building on previous efforts in Washington and Ohio, where the model was initiated in 1998, the institute, together with the Denver, Colorado-based National Civic League, is undertaking a project to promote the development and signing of codes of conduct among candidates running for federal, state and local office in the 2000 elections in both states. Pew Charitable Trusts, which provided initial support for the formation of the model, is funding activities focused on the federal and state elections. Corporation funds are supporting the institute's work with candidates running at the local level in Ohio. Members of the project will publish an assessment of the model's impact.

*Brad Rourke, Vice President for Public Policy.*  
*www.campaignconduct.org*

LEAGUE OF WOMEN VOTERS EDUCATION FUND,  
WASHINGTON, DC, AND PUBLIC AGENDA  
FOUNDATION, *New York, NY.*

JOINT PROJECT OF THE DEMOCRACY NETWORK,  
LEAGUE OF WOMEN VOTERS EDUCATION FUND  
AND PUBLIC AGENDA FOUNDATION TO DEVELOP AN  
INTERACTIVE VOTER EDUCATION WEB SITE. EIGHTEEN  
MONTHS, \$300,000 (\$150,000 EACH INSTITUTION).

The Center for Governmental Studies' Democracy Network (DNet), together with the Public Agenda Foundation and the League of Women Voters Education Fund, is undertaking a project to provide comprehensive, nonpartisan information about the 2000 elections on the web. The site, an expansion of DNet's online voter guide, will offer factual information about candidates, critical issues, and voting. It will also allow viewers to track campaign issues and, through links, to switch back and forth between discussion of these issues and candidates' views. The league is conducting outreach to candidates and cam-

paign and political party staff to promote the site's value in campaign strategies. The foundation is developing policy briefs and synthesizing data from public opinion polls for inclusion on the site.

*Jane Gruenebaum, Executive Director, League of Women Voters Education Fund. www.lwv.org/~lwvus/*

*Deborah Wadsworth, Executive Director, Public Agenda Foundation. www.publicagenda.org*

NETWORK FOR AMERICAN RENEWAL,  
*New York, NY.*

GENERAL SUPPORT. TWO YEARS, \$200,000.

A new public policy organization, the Network for American Renewal, is being formed by leaders of the public policy community to reframe policy debates for the next century. Network staff members will assess the strategies of the private, government, and nonprofit sectors for solving national problems and collaborate with representatives of national, state, and local organizations to forge collective policy recommendations about emerging challenges in the United States. The goal is to create innovative and broad policy approaches that balance nonmarket concerns with economic concerns and civic interests with private interests. This grant joins start-up support from other major foundations.

*Stephen Heintz, President.*

NORTHEAST ACTION, *Boston, MA.*

JOINT PROJECT WITH DEMOCRACY WORKS AND PUBLIC CAMPAIGN TO PROVIDE TECHNICAL ASSISTANCE TO NONPROFITS MONITORING THE IMPLEMENTATION OF COMPREHENSIVE STATEWIDE CAMPAIGN FINANCING REFORMS. TWO YEARS, \$300,000.

In a joint project with Democracy Works and Public Campaign, Northeast Action established the Money and Politics Implementation Project in 1999 to provide technical assistance to civic groups in four states—Arizona, Maine, Massachusetts and Vermont—that are currently implementing “clean money/clean elections” campaign financing laws. The goals of the project are to strengthen and protect these laws and ensure a smooth and successful transition to the era of campaign finance reform. To meet its goals, the project



identifies and coordinates sources of critical assistance, conducts research and data analysis on issues that affect each state, provides news media strategy training, message development and fundraising training and assistance to key organizations working on implementation issues.

*Cynthia Ward, Acting Co-executive Director.*

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA.*

RESEARCH BY THE ANNENBERG SCHOOL FOR COMMUNICATION AND THE ANNENBERG PUBLIC POLICY CENTER ON POLITICAL DISCOURSE AND ISSUE ADVOCACY ADVERTISING. EIGHTEEN MONTHS, \$300,000.

A team of researchers at the University of Pennsylvania's Annenberg School for Communication is conducting a project to map the campaign discourse of the 2000 elections. Team members are collecting and analyzing the discourse — speeches, debates, television ads, broadcast news and newspaper coverage — and making the analysis available on CD-ROM to researchers at the university and journalists. The school's Public Policy Center is conducting a second project to track issue advocacy advertising — advertisements that seek to promote a particular public policy position, a set of ideals or an opinion — and disseminating the results via a new web site and through an extended mailing to journalists and policymakers. Both projects are directed by Kathleen Hall Jamieson, one of the nation's foremost authorities on political discourse and dean of the Annenberg school and director of the center.

*Kathleen Hall Jamieson, Dean, Annenberg School for Communication, and Director, Annenberg Public Policy Center. [www.appcpenn.org](http://www.appcpenn.org)*

PROJECT VOTE, *Brooklyn, NY.*

SUPPORT. ONE YEAR, \$100,000.

Founded in 1982, Project Vote provides voter registration to low-income and minority citizens and conducts nonpartisan follow-up voter education. The project uses a network-building model that forges relationships and establishes coalitions with a wide range of community organizations and leaders who,

in turn, canvass neighborhoods during election cycles, educate neighbors about local and national issues and provide nonpartisan voter education materials. With Corporation support, Project Vote is conducting voter registration and education activities in ten metropolitan areas in 2000 and evaluating the success of these efforts following the election.

*Joanne B. Wright, National Director.*

PROTEUS FUND, *Amherst, MA.*

STATE-BASED CAMPAIGN FINANCE DISCLOSURE ACTIVITIES AND STRENGTHENING THE INSTITUTIONAL CAPACITY OF THE PIPER FUND. TWO YEARS, \$325,000.

While political candidates are required to file disclosure statements on all contributions of \$1,000 at the federal level, there is no such requirement for candidates seeking state and local office. Additionally, the monitoring of state regulatory offices overseeing public disclosure of campaign contributions varies considerably. The Proteus Fund serves as a conduit for funders to support a number of grantmaking initiatives including the Piper Fund, which assists campaign financing reform at the state level. The project's goals include improving disclosure of campaign financing data and strengthening and enforcing campaign financing laws. Since its founding in 1997, the Piper Fund has distributed \$2.3 million in grants of \$10,000–\$50,000 to 53 organizations in 38 states. This grant supports the Piper Fund's work.

*Meg Gage, President. [www.funder.org/piper/](http://www.funder.org/piper/)*

THIRD MILLENNIUM ADVOCATES FOR THE FUTURE, *New York, NY.*

RESEARCH, ANALYSIS AND PUBLIC EDUCATION ABOUT THE CONTENT OF CAMPAIGNS AND THE EFFECTS ON YOUNG VOTERS. ONE YEAR, \$150,000.

Third Millennium Advocates for the Future, established in 1993, is a nonprofit public policy group that focuses on issues facing young adults. In 1999 it launched "Neglection 2000," a project to test the hypothesis—known as the "cycle of mutual neglect"—that young people vote in low numbers because campaigns do not target them, and campaigns do not

target young people because they vote in low numbers. Through a mixture of quantitative and qualitative research, the organization is analyzing the communication strategies of the 2000 presidential campaigns in key areas of the country, tracking where candidates campaign and assessing the impact on young voters of political communications on the Internet. Results will be disseminated to media outlets nationwide.

*Richard Thau, President. [www.thirdmil.org](http://www.thirdmil.org)*

**TOMÁS RIVERA POLICY INSTITUTE, *Claremont, CA.***

**POLITICAL PARTICIPATION INITIATIVE.**

**EIGHTEEN MONTHS, \$313,000.**

Founded in 1985, the Tomás Rivera Policy Institute conducts social science research about policy issues affecting Latino communities and disseminates this information to policymakers, public and private sector representatives, journalists and prominent leaders of Latino communities. In 2000, the institute is analyzing voter mobilization programs in four states—California, Florida, New York and Texas—and compiling statistically reliable information about Latino voting patterns and policy preferences to help inform the development of voter outreach programs and policy agendas.

*Harry P. Pachon, President. [www.trpi.org](http://www.trpi.org)*

**UNITED STATES HISPANIC LEADERSHIP INSTITUTE, *Chicago, IL***

**SUPPORT (FINAL). TWO YEARS, \$300,000.**

The United States Hispanic Leadership Institute, formerly the Midwest–Northeast Voter Registration Education Project, was founded in 1982 to provide Latino voters in those regions with a principle source of nonpartisan information on political candidates and issues. The institute, which now works with Latino communities in twenty states and increasingly in the Southeast, conducts leadership development, naturalization outreach and voter registration and education campaigns in both rural and urban communities. The goal is to create within each community the capacity to sustain citizen participation projects after a local voter registration or education campaign supported by the institute ends. Institute staff members are also conducting post-election exit polls and Latino voter and

nonvoter public opinion polls. Findings are disseminated to the English- and Spanish-language media and through a quarterly newsletter.

*Juan Andrade, President. [www.usbli.com](http://www.usbli.com)*

**WILLIAM C. VELÁSQUEZ INSTITUTE, *Los Angeles, CA.***

**SUPPORT (FINAL). TWO YEARS, \$300,000.**

Founded in 1986, the William C. Velásquez Institute, formerly the Southwest Voter Research Institute, is a nonpartisan research and public policy organization that aims to strengthen the political and economic gains of Latinos in the Southwestern United States. The institute conducts research, voter surveys, polls and other public policy activities. Together with its sister organization, the Southwest Voter Registration and Education Project, it is directing a survey to identify and evaluate the impact on voter participation of political mobilization techniques, particularly among young and low-income Latinos. Focus groups in selected cities in Texas and New Mexico will test the assumptions and findings of each survey research component.

*Antonio González, President. [www.wcvi.org](http://www.wcvi.org)*

**YOUTH VOTE 2000, *Washington, DC.***

**SUPPORT. ONE YEAR, \$200,000.**

Youth Vote 2000, a nonpartisan coalition to encourage civic participation among young people in the United States, seeks to bridge the gap between young Americans' commitment to their community as evidenced in volunteerism and activism and their participation in the electoral process. More than fifty organizations comprise Youth Vote, including Black Youth Vote, Campus Compact, Campus Green Vote, the National Coalition for Students with Disabilities, the National Council of La Raza, the Organization of Chinese Americans, the U.S. Student Association, Youth Service America and the YWCA. At the local and regional level, field organizers are coordinating get-out-the-vote efforts and facilitating debate among presidential and other candidates on issues of interest to people ages 18–30.

*Julia S. Cohen, Executive Director. [www.youthvote2000.org](http://www.youthvote2000.org)*



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## Implications of the Widened Income Gap

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RUSSELL SAGE FOUNDATION, *New York, NY.*

RESEARCH ON INCOME INEQUALITY IN THE UNITED STATES. TWO YEARS, \$1,500,000.

The unprecedented economic expansion of the 1980s and 1990s in the United States widened the economic gap between people in individual earnings, family income and family wealth. With joint funding from the Corporation, the Russell Sage Foundation is undertaking a project to examine the social implications of this increased inequality. The foundation is establishing university-based working groups across the country to analyze the extent to which changes in the income and wealth gap are linked to changes in family well-being, educational opportunity, health care, legal protection, access to new information technologies and political participation and influence. Findings will be published and widely disseminated to policymakers and the public.

*Eric Wanner, President. [www.russellsage.org](http://www.russellsage.org)*

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## Intergroup Relations

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AMERICAN CIVIL LIBERTIES UNION FOUNDATION, *Atlanta, GA.*

VOTING RIGHTS PROJECT (FINAL).  
TWO YEARS, \$300,000.

For almost forty years, the voting rights project of the American Civil Liberties Union (ACLU) has been a leading force for private enforcement of the Voting Rights Act. Members of the project conduct precedent-setting litigation, monitor redistricting practices and challenge trends in governance that weaken minority participation in elections. In the next two years, the project will continue its litigation work in the South and will also devote significant resources to voting rights work on behalf of Native American communities in the West and Southwest.

*Laughlin McDonald, Director, Voting Rights Project.  
[www.aclu.org](http://www.aclu.org)*

HARVARD UNIVERSITY *Cambridge, MA.*

EDUCATIONAL EQUITY WORK OF THE CIVIL RIGHTS PROJECT. TWO YEARS, \$410,600.

Harvard University's Civil Rights Project is an interdisciplinary initiative founded in 1996 by Professors Christopher Edley, Jr., of Harvard Law School, and Gary Orfield, of the Harvard Graduate School of Education. The project aims to evaluate the equity dimensions of major public policy debates on K-12 education, focusing particularly on policies and practices that impact students of color, ethnic minorities and students from low-income backgrounds. In addition to generating research, the project, in concert with other organizations, is devising strategies for disseminating findings to journalists, legislators at the federal and state level, civil rights and education leaders and the public.

*Christopher Edley, Jr., Codirector, Civil Rights Project,  
Professor of Law, Harvard Law School.*

*Gary Orfield, Codirector, Civil Rights Project, Professor of  
Education and Social Policy, Harvard University Graduate  
School of Education.*

LAWYERS' COMMITTEE FOR CIVIL RIGHTS UNDER  
LAW, *New York, NY.*

SUPPORT (FINAL). THREE YEARS, \$500,000.

Founded in 1963, at the request of President John F. Kennedy, to involve the private bar in providing legal services to address racial discrimination, the Lawyers' Committee for Civil Rights Under Law is one of the nation's premier civil rights advocacy organizations. In addition to its litigation activities on voting rights, education equity and employment and housing discrimination, the committee conducts educational outreach to the policymaking community and the public. Among its many projects, the committee is working with the Department of Commerce to develop and implement a fair method of considering the new racial categories enumerated in the 2000 census in the redistricting process.

*Barbara Arnwine, Executive Director. [www.lawyerscomm.org](http://www.lawyerscomm.org)*

LEADERSHIP EDUCATION FOR ASIAN PACIFICS,  
*Los Angeles, CA.*

GENERAL SUPPORT OF THE PROGRAMS OF THE ASIAN  
PACIFIC AMERICAN PUBLIC POLICY INSTITUTE (FINAL).  
THREE YEARS, \$450,000.

Asian Pacific Americans, including those born in Vietnam, Laos, Cambodia, Thailand and other Southeast Asian countries, are expected to comprise 7 percent of the U.S. population by 2020. To compile, analyze and disseminate information on the needs of this increasingly diverse and growing segment, Leadership Education for Asian Pacifics has established the Asian Pacific American Public Policy Institute. This final grant provides general support for the institute's activities.

*J.D. Hokoyama, President. [www.leap.org](http://www.leap.org)*

NATIONAL IMMIGRATION FORUM, *Washington, DC*

BALANCED MEDIA COVERAGE OF IMMIGRATION ISSUES.  
THREE YEARS, \$225,000.

Founded in 1982, the National Immigration Forum presents accurate data on immigration to the United States to reporters, policymakers, and the public and promotes fair immigration policies through advocacy, targeted research, and public education. Forum staff members provide recommendations to members of Congress and federal agencies, particularly the Immigration and Naturalization Service (INS), and maintain regular advisory contact with major organizations involved in refugee and immigration affairs. In 1998, the forum was cited as a source of expert, unbiased information on immigration in over 260 newspapers and magazines, and forum spokespersons appeared on more than 55 television and radio shows. The primary goal of the forum's news media project is to generate news media coverage that cultivates support of fair immigration policies.

*Frank Sharry, Executive Director.*  
*[www.immigrationforum.org](http://www.immigrationforum.org)*

SOUTH CAROLINA ETV, *Columbia, SC*

CIVIC OUTREACH AND PUBLIC EDUCATION FOR A  
DOCUMENTARY BY HEDRICK SMITH ON COMMUNITY  
SOLUTIONS TO LOCAL CRIME PROBLEMS.  
EIGHTEEN MONTHS, \$75,000.

Recent public opinion polls suggest that Americans see the United States as increasingly polarized and disengaged from the nation's problems. To draw attention to successful projects to resolve crime and violence at the local level, Hedrick Smith, a prize-winning journalist, has produced a two-and-a-half-hour PBS broadcast, Seeking Solutions. The documentary features stories from across the country about community projects to resolve street crime, hate crime, and ethnic violence and contains coverage of community dialogues about lessons learned. South Carolina ETV, together with Hedrick Smith Productions, is promoting broader viewing of the broadcast, establishing an interactive web site on the project and developing an array of public education and resource materials for dissemination to locally based organizations.

*Hedrick Smith, Hedrick Smith Productions. [www.scet.org](http://www.scet.org)*

## Discretionary Grants

ASSOCIATION OF GRADUATES OF THE UNITED  
STATES MILITARY ACADEMY, *West Point, NY*

FOR A SUMMER INTERNSHIP FOR A FACULTY MEMBER OF  
THE U.S. MILITARY ACADEMY, \$6,400

BROWN UNIVERSITY, *Providence, RI*

TOWARD CAMPUS COMPACT'S VOTER PARTICIPATION  
PROJECT ON COLLEGE CAMPUSES NATIONWIDE, \$25,000

CATHOLIC LEGAL IMMIGRATION NETWORK, INC.,  
*Washington, DC*

TOWARD PREPARATION AND DISSEMINATION OF A  
REPORT ON LEGAL ISSUES AFFECTING IMMIGRANTS,  
\$25,000



CAMPBELL'S TELEVISION WORKSHOP, *New York, NY*

TOWARD AN INTERNATIONAL SYMPOSIUM TO EVALUATE  
A JOINT ISRAELI/PALESTINIAN PRODUCTION OF "SESAME  
STREET", \$25,000

COUNCIL FOR EXCELLENCI IN GOVERNMENT,  
*Washington, DC*

TOWARD A BOOK ON THE MOST IMPORTANT EXECUTIVE  
POSITIONS IN THE U.S. GOVERNMENT, \$25,000

DEMOCRACY 21 EDUCATION FUND, *Washington, DC*

TOWARD PUBLIC EDUCATION ON SOFT MONEY  
CONTRIBUTIONS IN ELECTIONS, \$25,000

HUMAN SERVE CAMPAIGN, *New York, NY*

TOWARD A FINAL REPORT AND ARCHIVES, \$10,000

HUNTER COLLEGE OF THE CITY UNIVERSITY OF  
NEW YORK, *New York, NY*

TOWARD A MODEL PROJECT OF THE BROOKDALE  
CENTER ON AGING TO OBTAIN A COMPLETE COUNT  
OF THE ELDERLY IN THE 2000 CENSUS, \$25,000

INDEPENDENT MEDIA INSTITUTE, *San Francisco, CA*

FOR COORDINATING A MEDIA STRATEGY ON CAMPAIGN  
FINANCING ISSUES AT THE STATE LEVEL, \$24,500

INDEPENDENT PRODUCTION FUND INC.,  
*New York, NY*

TOWARD RESEARCH AND DEVELOPMENT OF A  
TELEVISION SERIES ON ISLAM, \$25,000

IOWA CITIZEN ACTION NETWORK EDUCATION  
FOUNDATION, *Des Moines, IA*

TOWARD A JOINT PUBLIC EDUCATION PROJECT WITH  
THE NEW HAMPSHIRE CITIZENS ALLIANCE ON  
CAMPAIGN FINANCING, \$20,000

MIDWEST STATES CENTER, *Prairie Farm, WI*

TOWARD A SEMINAR FOR THE NEWS MEDIA ON  
CAMPAIGN FINANCING, \$25,000

NATIONAL ASSOCIATION OF SECRETARIES OF  
STATE INC., *Lexington, KY*

TOWARD AN INITIATIVE ON CIVIC PARTICIPATION AND  
VOTING DIRECTED TOWARD YOUNG PEOPLE, \$25,000

PUBLIC CAMPAIGN, *Washington, DC*

FOR INSTITUTIONAL DEVELOPMENT, \$25,000

PUBLIC CITIZEN FOUNDATION, INC.,  
*Washington, DC*

FOR A LEGAL PROJECT TO CHALLENGE THE JUDICIAL  
CAMPAIGN FINANCING SYSTEM IN TEXAS, \$25,000

SOUTH CAROLINA ETV, *Columbia, SC*

TOWARD CIVIC OUTREACH AND PUBLIC EDUCATION FOR  
A DOCUMENTARY BY HEDRICK SMITH ON COMMUNITY  
SOLUTIONS TO LOCAL CRIME PROBLEMS, \$25,000

STANFORD UNIVERSITY, *Stanford, CA*

TOWARD A RESEARCH PROJECT TO MEASURE WHETHER  
DIRECT ACCESS TO PRESIDENTIAL CANDIDATES' SPEECHES  
AND CAMPAIGN ADVERTISEMENTS INFLUENCES VOTER  
ENGAGEMENT, \$25,000

### Philanthropy and Nonprofit Institutions

ASPEN INSTITUTE, *Washington, DC.*

NONPROFIT SECTOR RESEARCH FUND.

TWO YEARS, \$250,000.

The Nonprofit Sector Research Fund, established at the Aspen Institute in 1991, aims to expand understanding of nonprofit activities in the United States and around the world and facilitate research to improve nonprofit practices and inform public policy. The fund, which operates a core grantmaking program, has allocated more than \$6.6 million to support 294 research projects on the nonprofit sector since its inception. Staff members disseminate the results of this research through a wide variety of public education efforts, including conferences, publications and media outreach.

*Alan J. Abramson, Director, Nonprofit Sector Research Fund.*  
[www.nonprofitresearch.org](http://www.nonprofitresearch.org)

CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION, *Washington, DC.*

SUPPORT. TWO YEARS, \$150,000.

Established in 1994, CIVICUS: World Alliance for Citizen Participation aims to strengthen civil society internationally by supporting and facilitating a global network of civic organizations. Its world and regional assemblies bring together civil society activists, representatives of nongovernmental organizations, world leaders, corporate executives and others to confront the challenges facing civil society and citizen participation. In addition to advocating for nongovernmental organizations before the World Bank and the United Nations, CIVICUS staff members prepare publications on various issues, including effective strategies for resource mobilization. The publications are distributed to member organizations in eighty-six countries.

*Kumi Naidoo, Secretary General and CEO. [www.civics.org](http://www.civics.org)*

COLUMBIA UNIVERSITY, *New York, NY*

DISSEMINATION OF THE ORAL HISTORY OF CARNEGIE CORPORATION (FINAL). ONE YEAR, \$70,000.

Scholars based at the Oral History Research Office of Columbia University are in the final phase of recording and processing interviews for the second oral history of the Corporation, initiated in 1996 and covering the period from 1968 to the present. A major part of the history focuses on the Corporation's support of South Africa's transition to a democratic society, about which members of the research team have conducted nearly twenty hours of video interviews in South Africa. Archbishop Desmond Tutu and President Jimmy Carter have also been video interviewed for the project. Galen Films is assisting the team in editing the tapes for use in presentations and other media projects.

*Ronald J. Grele, Director, Oral History Research Office.*

FOUNDATION CENTER, *New York, NY.*

SUPPORT (FINAL). THREE YEARS, \$225,000.

Founded in 1956, the Foundation Center fosters public understanding of the foundation field by collecting, organizing, analyzing and disseminating information about foundations, corporate giving, and related subjects. With 5 operating libraries and 200 cooperating collections around the country, the center publishes more than 50 reference books annually, designs and coordinates electronic resource centers and databases, offers training programs to grantseekers and maintains a web site. Members of nonprofit organizations, colleges and universities, foundations, government agencies and the news media are among the primary users of these services.

*Sara L. Engelhardt, President. [www.fdncenter.org](http://www.fdncenter.org)*



NATIONAL COMMITTEE FOR RESPONSIVE  
PHILANTHROPY, *Washington, DC.*

SUPPORT. TWO YEARS, \$80,000.

The National Committee for Responsive Philanthropy was established in 1976 to increase philanthropic accountability, strengthen private funding of projects that serve disadvantaged populations and expand philanthropic investment in projects and institutions that promote broad-based policy debate. The committee also works to increase the transparency of philanthropic institutions, facilitating the evaluation necessary to make a stronger, more strategic philanthropic sector.

*Rick Cohen, President. [www.ncrp.org](http://www.ncrp.org)*

NATIONAL COUNCIL OF NONPROFIT  
ASSOCIATIONS, *Washington, DC.*

SUPPORT. TWO YEARS, \$150,000.

Founded in 1989, the National Council of Nonprofit Associations brings together leaders of state associations of nonprofit organizations to share information about best practices in building state and local nonprofit coalitions. The council also provides thousands of local nonprofits with resources to strengthen management and represents the nonprofit sector in public policy debates at state and national levels.

*Audrey R. Alvarado, Executive Director. [www.ncna.org](http://www.ncna.org)*

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## Other

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AFRICARE, *Washington, DC.*

GENERAL SUPPORT (FINAL). TWO YEARS, \$250,000.

Africare is a private, nonprofit organization dedicated to improving the quality of life in Africa. It has field offices in twenty-seven African countries where staff members work in close collaboration with African policymakers, field experts, and village leaders and workers to implement local and regional development initiatives. In the United States, Africare conducts public education and outreach projects to build understanding of African development. Africare's founding president is retiring in the next two years. To ensure a

smooth leadership transition and to strengthen Africare's future impact, the organization is undertaking a series of strategic planning activities that include the revision of evaluation procedures and a review of programs and priorities in light of new challenges.

*Yolonda C. Richardson, Senior Vice President.*  
*[www.africare.org](http://www.africare.org)*

AMERICAN COMMUNICATIONS FOUNDATION,  
*Mill Valley, CA.*

ASSISTANCE TO COMMERCIAL RADIO AND TELEVISION STATIONS TO COVER EDUCATION AND CITIZEN PARTICIPATION ISSUES. ONE YEAR, \$354,000.

In recognition of the impact of commercial broadcasting, the American Communications Foundation has initiated a radio and television news project to provide research and production assistance to commercial stations on stories of interest to the nonprofit and philanthropic sector. Working in partnership with producers at national and local stations, the foundation's staff of professional journalists conduct research, collect footage and tape and help shape stories unlikely to be covered by commercial networks. Over the next year, the foundation is developing up to seventy-five stories on projects and research findings in areas supported by the Corporation, including civic participation, campaign finance reform, urban school reform and early childhood education.

*Cynthia Perry, Executive Director.*

ASPEN INSTITUTE, *Washington, DC.*

PROMOTE UNITED STATES PUBLIC AND POLICYMAKER ENGAGEMENT IN INTERNATIONAL ISSUES.  
TWO YEARS, \$250,000.

A consortium of philanthropic, governmental and nonprofit organizations comprise the Global Interdependence Initiative, a collaborative effort to develop a new approach for U.S. international engagement in the post-Cold War era. The initiative has several goals: to underscore the saliency of global issues for the people of the United States, to develop strategies for building public and political support for a new cooperative framework of international engagement and to increase public debate about inter-

national policies. The initiative's secretariat is based at the Aspen Institute; its advisory committee is based at the Rockefeller Brothers Fund. Benton Foundation is focusing on the formation of strategic communications for the initiative.

*David Devlin-Foltz, Project Director, Global Interdependence Initiative. [www.aspeninstitute.org](http://www.aspeninstitute.org)*

BENTON FOUNDATION, *Washington, DC.*

TELECOMMUNICATIONS POLICY AND PRACTICES PROGRAM. TWO YEARS, \$325,000.

The Benton Foundation's program on communications policy and practice aims to safeguard the interests of the public in the emerging telecommunications environment. Program staff members are researching developments in the field, like the transition from analog to digital television, assessing potential impact, and disseminating findings and policy recommendations to representatives of government, media, business, and the nonprofit community. They are also supporting the creation of new models of public service media and fostering collaboration between commercial and noncommercial organizations on initiatives to promote noncommercial educational programming. The program's goal is to equip and mobilize a constituency for public interest policies in the digital age.

*Anthony G. Wilhelm, Program Director, Communications Policy and Practice. [www.benton.org](http://www.benton.org)*

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY.*

RESEARCH AND WRITING BY DAVID A. HAMBURG, M.D., IN THE AREAS OF CONFLICT RESOLUTION AND EDUCATION AND HEALTH OF CHILDREN AND YOUTH. APPROPRIATION ADMINISTERED BY THE OFFICERS OF THE CORPORATION. THREE YEARS, \$715,000.

Building on the programs developed during his tenure, the Corporation's president emeritus, David A. Hamburg, is writing two books. The first will be a comprehensive volume on conflict prevention and resolution that moves from individual and family conflicts to the broader area of ethnic, religious and nationalist conflicts. The second book will examine the

health and educational needs integral to middle childhood and late adolescence. This appropriation covers Hamburg's research and administrative costs.

*Geraldine P. Mannion, Program Chair. [www.carnegie.org](http://www.carnegie.org)*

CENTER FOR PUBLIC INTEGRITY, *Washington, DC.*

INVESTIGATIVE PROJECT ON THE RELATIONSHIP BETWEEN CIVIL WARS AND CORPORATE INTERESTS. ONE YEAR, \$273,300.

The Center for Public Integrity's International Consortium of Investigative Journalists (ICIJ), established in 1997 with Corporation support, serves as a network for leading international reporters and facilitates the research and distribution of journalism by its members. To address the post-Cold War phenomenon referred to as the "business of war"—warfare conducted by economically-motivated nonstate actors rather than by nation-states divided along ideological lines—ICIJ is supporting a project that explores the extent to which civil wars in developing nations can be traced to struggles over raw materials, corporate behavior and mercenary companies. The project is to be conducted by reporters from Africa, Latin America, Asia, Australia and Europe, and findings will be published in a book-length report for worldwide dissemination.

*Maud S. Beelman, Director, International Consortium of Investigative Journalists. [www.publicintegrity.org](http://www.publicintegrity.org)*

COUNCIL ON FOREIGN RELATIONS,  
*New York, NY.*

PROGRAM ON ECONOMICS AND NATIONAL SECURITY FOR YOUNG SCHOLARS. ONE YEAR, \$250,000.

In the coming years, responding comprehensively to major foreign policy challenges, whether they pertain to China or Russia, North Korea or Iran, Indonesia or Central Asia, the Balkans or the Caucasus, will require an understanding of both security and economics. To foster expertise in the two fields in a new generation of security specialists and economists, the Council on Foreign Relations is establishing the Economics and National Security Program. Fellows in the program, guided by study groups and tutorials conducted by leading scholars and specialists in each field, will under-



take research projects that address the intersections between international politics and economics. The goal is to engage fellows trained in security in the histories and concepts of economics and vice versa.

*Lawrence J. Korb, Vice President. [www.cfr.org](http://www.cfr.org)*

HARVARD UNIVERSITY, *Cambridge, MA.*

STUDY OF HUMANE CREATIVITY (FINAL).

TWO YEARS, \$150,000.

Under the guidance of three scholars—Howard Gardner of Harvard University, Mihaly Csikszentmihalyi of the University of Chicago, and William Damon of Stanford University—a team of researchers is conducting a multiyear study to explore the concept of humane creativity and its relationship to social responsibility. Through interviews, research, and the development of case studies, the project aims to identify the institutional supports and personal characteristics that engender exceptional productivity, ethics, and creativity in the professional lives of individuals. Members of the team have completed examinations of two domains: journalism and genetics. In the coming year, they will explore the fields of higher education, philanthropy, and theater. Findings will be presented to academics and the public through published reports, books, and articles.

*Howard Gardner, Hobbs Professor in Cognition and Education, Harvard University Graduate School of Education.*

HIGHER EDUCATION POLICY INSTITUTE,  
*San Jose, CA.*

DEVELOPMENT AND DISSEMINATION OF A NATIONAL REPORT CARD ON STATE HIGHER EDUCATION PERFORMANCE. ONE YEAR, \$500,000.

While states play a significant role in funding higher education in the United States and help to shape higher education policies and practices, state leaders have limited access to comprehensive, comparative information on the performance of higher education institutions. To assist policymakers in evaluating each states' higher education strengths and weaknesses, the National Center for Public Policy and Higher Education is

developing a state-by-state report card that measures performance in five categories: preparation of students, opportunity for student participation, affordability, students' persistence and completion, and civic gains and returns. The report card will be released annually or biannually, with the first release in fall 2000.

Corporation funds support the review, refinement and dissemination of the first report card and follow-up activities. The Higher Education Policy Institute serves as fiscal agent for the center.

*Patrick M. Callan, President, National Center for Higher Education and Public Policy. [www.highereducation.org](http://www.highereducation.org)*

NATIONAL ENDOWMENT FOR THE HUMANITIES,  
*Washington, DC.*

CORE COLLECTION OF WORKS BY AMERICAN AUTHORS FOR RURAL AND SMALL PUBLIC LIBRARIES IN THE UNITED STATES. TWENTY-SEVEN MONTHS, \$1,000,000.

The National Endowment for the Humanities, together with the Library of America and the American Library Association, is providing fifty-volume sets of some of the most significant writings by American authors to 800 rural, urban and suburban public libraries. The volumes, each 900–1600 pages, are being compiled by the Library of America and include writings by novelists, historians, essayists, journalists, statesmen, and philosophers. Corporation funds are being used to underwrite the costs of making the sets available to public libraries, provide related training to library staff, and develop special programs to stimulate public interest in the volumes—including readings from the texts by celebrities and writers. The National Endowment is overseeing the project and selecting the recipient libraries through its peer review process.

*Tom Phelps, Senior Program Officer. [www.neh.gov](http://www.neh.gov)*

NATIONAL URBAN LEAGUE, *New York, NY.*

SUPPORT (FINAL). THREE YEARS, \$750,000.

The aim of the National Urban League, established in 1910 to respond to the housing, health care and economic needs of thousands of African Americans migrating to urban centers in the North at the turn of the century, is the attainment of social and economic equality for blacks in the United States. Its three-

pronged focus comprises the academic preparation and social development of African American children to equip them for self-reliance and citizenship; economic self-sufficiency for parents through gainful employment, entrepreneurship and home ownership; and racial harmony and inclusion. The league, headquartered in New York City with affiliates in Washington, D.C., and 115 cities in 36 states, conducts advocacy, provides technical support and program services and undertakes research and policy analysis.

*Hugh B. Price, President. [www.nul.org](http://www.nul.org)*

NATIVE AMERICAN RIGHTS FUND, *Boulder, CO.*

SUPPORT (FINAL). THREE YEARS, \$450,000.

Most Native Americans live in two sovereign states: the United States and the sovereign nation of a tribe. Treaties, land claims and other legal documents and principles, in addition to federal agencies, mediate the relationship between tribes and the United States government. For almost thirty years, the Native American Rights Fund (NARF) has been providing quality specialized legal assistance to Native American tribes and individuals in an effort to address the complex legal and constitutional circumstances that govern even basic policies about the lives of Native Americans. NARF—which has helped preserve tribal existence, protect Indian natural resources, promote human rights, hold governments accountable and develop a sound body of tribal laws—is devoting particular attention to economic development, education and religious freedom.

*John E. Echohawk, Executive Director. [www.narf.org](http://www.narf.org)*

PUERTO RICAN LEGAL DEFENSE AND EDUCATION FUND, *New York, NY.*

GENERAL SUPPORT (FINAL). THREE YEARS, \$450,000.

The Puerto Rican Legal Defense and Education Fund conducts advocacy, education, and litigation to safeguard the rights of Latinos, the fastest growing segment of the U.S. population. The fund's Education Rights Project, supported by the Corporation since the fund's inception, is assessing the affect of education reforms on the performance of Latino students, advocating at the state and local level for the strengthening of bilin-

gual education programs, and, in collaboration with members of the Latino community, drafting model legislation to assist desegregation efforts in selected schools. The fund is also completing a public education and outreach project to minimize the under-count of Latinos in the 2000 census. This final grant is for general support.

*Juan A. Figueroa, President and General Counsel. [www.iprnet.org/IPR](http://www.iprnet.org/IPR)*

STANFORD UNIVERSITY, *Stanford, CA*

ESTABLISHMENT OF THE WARREN CHRISTOPHER PROFESSORSHIP IN INTERNATIONAL LAW AND DIPLOMACY. NINE MONTHS, \$200,000.

Stanford University is establishing the Warren Christopher Professorship in International Law and Diplomacy to honor former secretary of state Warren Christopher, who served as chair of the Corporation's board of trustees from January 1990 until his resignation to assume that position. The professorship, to be a joint appointment between the Law School and the Institute for International Studies, is being founded to recognize Christopher's contributions to national and international peace and to the advancement of humanity through education.

*Martin W. Shell, Associate Dean for External Relations, Stanford Law School.*

TWENTIETH CENTURY FUND  
(CENTURY FOUNDATION), *New York, NY.*

STUDY OF PUBLIC INTEREST NEEDS IN THE AGE OF DIGITAL TELECOMMUNICATIONS. TWO YEARS, \$200,000.

Lawrence K. Grossman, a former president of PBS, and Newton N. Minow, a former chair of the Federal Communications Commission and co-author of the Corporation-supported book *Abandoned in the Wasteland: Children, Television, and the First Amendment* (Hill and Wang, 1995), are directing a study to focus national attention on the public policy dilemma posed by digital communications. The study is bringing together representatives of arts, educational, health and other organizations to develop recommendations on how technology's new capacities—including



the convergence of video, audio and data—might be used to expand and strengthen its educational and civic role. A final report will be presented to the next presidential administration. The Twentieth Century Fund (Century Foundation) is administering the project.

*Sarah Ritchie, Program Officer. [www.tcf.org](http://www.tcf.org)*

WISDOM WORKS, WASHINGTON, DC.

EDUCATION AND OUTREACH FOR THE DOCUMENTARY, "TUTU AND FRANKLIN: A JOURNEY TOWARDS PEACE." ONE YEAR, \$200,000.

In 1998, Wisdom Works, a nonprofit, multimedia organization established by Emmy-award winning broadcast journalist Renee Pouissaint, brought together Nobel Peace Prize winner Archbishop Desmond Tutu, John Hope Franklin, chair of President Clinton's Advisory Board on Race, and a multi-ethnic group of students to participate in a series of videotaped conversations on Goree Island, Senegal. These conversations served as the basis of a 90-minute documentary film about race and reconciliation in the 21<sup>st</sup> century, scheduled to air on PBS in February 2001 during Black History Month. Wisdom Works is conducting educational outreach for the film, providing schools and community groups with tools to stimulate discussion and create recommendations for achieving social change across ethnic, racial, community and national boundaries.

*Renee Poussaint, President. [www.wisdomworks.net](http://www.wisdomworks.net)*

Discretionary Grants

APPLIED RESEARCH AND DEVELOPMENT INTERNATIONAL INC., *Denver, CO*

FOR SUPPORT OF CAPACITY BUILDING, \$25,000

ARTICLE 19, THE INTERNATIONAL CENTRE AGAINST CENSORSHIP, *London, United Kingdom*

TOWARD ESTABLISHING AN INTERACTIVE WEB SITE, \$25,000

CARNEGIE INSTITUTION OF WASHINGTON, *Washington, DC*

TOWARD A PROGRAM TO IMPROVE SCIENCE, MATHEMATICS, AND TECHNOLOGY EDUCATION FOR CHILDREN IN PUBLIC ELEMENTARY SCHOOLS IN THE DISTRICT OF COLUMBIA, \$25,000

FRENCH-AMERICAN FOUNDATION, *Paris, France*

TOWARD CONFERENCE EXPENSES AND DEVELOPMENT OF A PROGRAM ON AGING WORKERS' ISSUES, \$20,000

IMAGES AND EDUCATION, INC., *Somerville, MA*

TOWARD THE CULTURE OF PEACE PROGRAM TEACHING NON-VIOLENT CONFLICT RESOLUTION TECHNIQUES TO SCHOOL CHILDREN IN JORDAN, \$25,000

INTERNATIONAL WOMEN'S MEDIA FOUNDATION, *Washington, DC*

TOWARD AFRICAN WOMEN'S PARTICIPATION AT AN INTERNATIONAL CONFERENCE OF WOMEN JOURNALISTS, \$25,000

NATIONAL INSTITUTE OF SOCIAL SCIENCES, *New York, NY*

TOWARD ITS CENTENNIAL PROGRAM AND PUBLICATIONS, \$5,000

STANFORD UNIVERSITY, *Stanford, CA*

FOR PLANNING OF AN EXPERIMENTAL TEST OF THE EFFECTS OF RACIAL DIVERSITY IN HIGHER EDUCATION ON STUDENT'S LEARNING, \$25,000

TUFTS UNIVERSITY, *Medford, MA*

TOWARD SUPPORT FOR THE LINCOLN FILENE CENTER FOR CITIZENSHIP AND PUBLIC AFFAIRS' RESEARCH AND PUBLIC EDUCATION ABOUT THE ROLES AND CONTRIBUTIONS OF PHILANTHROPY, VOLUNTARY ACTION, AND CIVIL SOCIETY, \$25,000

# Carnegie Scholars

In May 2000, Carnegie Corporation of New York announced its first annual class of Carnegie Scholars. Those twelve individuals, listed below, were chosen for their innovative scholarship in areas of interest to the Corporation.

STEPHEN ANSO LABHERE, *Massachusetts Institute of Technology*

Fifteen-month grant of \$93,100 for a research project entitled The Rise of Money in American Elections

MATTHEW EVANGELISTA, *Cornell University*

One-year grant of \$97,700 for a research project entitled Will Russia Go the Way of the Soviet Union? Lessons of the Chechen Wars

JAY HEUBERT, *Columbia University*

Eleven-month grant of \$100,000 for a research project entitled Promotion and Graduation Tests: How Do They Affect Student Learning and Progress and How Can Proper Test Use be Promoted?

CAROLINE HOXBY, *Harvard University*

Sixteen-month grant of \$49,300 for a research project entitled Ideal Vouchers, Ideal Charter School Tuition: Price Mechanisms That Solve Problems Potentially Created By School Choice

RICHARD JOLLY, *City University of New York*

Nineteen-month grant of \$99,800 for a research project entitled Widening Global Income Gaps: Causes, Remedies, and Policy Proposals

RICHARD LANGHIORNI, *Rutgers University*

Two-year grant of \$100,000 for a research project entitled New Emissaries and No Emissaries: The Representation of New Voices in Global Politics

BEVERLY MACK, *University of Kansas*

Nine-month grant of \$98,600 for a research project entitled Pre-Eighteenth Century Muslim Women's Scholarship and Social Activism in West and North Africa

STEVEN ROSEFIELDE, *University of North Carolina*

Two-year grant of \$100,000 for a research project entitled Forgotten Superpower: The Economic Case for Arms Control and the Russian Federation

MICHAEL SANDEL, *Harvard University*

Two-year grant of \$100,000 for a research project entitled What Money Can Buy: Markets, Morals, and Civic Life

IAN SHAPIRO, *Yale University*

Two-year grant of \$99,900 for a research project entitled Democracy and Distribution in the United States

DOROTHY STOLPPS, *Columbia University*

Thirteen-month grant of \$74,200 for a research project entitled School Reform, Corporate Style: The Nexus of Politics, Business and Education Change in Twentieth Century Chicago

KATHLEEN VOGEL, *Cornell University*

Fifteen-month grant of \$78,400 for a research project entitled A Plague Upon the Nations? Proliferation Concerns from the Former Soviet Bioweapons Complex



# Publications and Nonprint Materials

In seeking to fulfill Andrew Carnegie's mission to promote "the advancement and diffusion of knowledge and understanding," the Corporation funds studies, research and writing and similar projects that often result in print, film/video, audio, and electronic materials for public dissemination. More than 1,000 books, reports, textbooks, and curricula have been published with Corporation grants in the past fifteen years. Although a high proportion are intended for academic and professional readers and other specialists, quite a few have reached a broad audience, and the ideas have taken root in policy and practice. Electronic publishing has become an increasingly important arena for dissemination, and many of the Corporation's grantees now have web sites, which are listed along with grant descriptions in the preceding pages.

The following selections of publications and nonprint materials resulting from grants were received by the Corporation in 1999-2000. The list does not include papers published in journals, newspapers, magazines or books. The materials are listed by program area.

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## Education

*The Battle Over School Choice,* VHS videotape  
(San Francisco, CA: Center for Investigative Reporting, 2000)

*Between the Lions Presents: Leading the Way to Literacy,* VHS videotape  
(Boston, MA: WGBH Educational Foundation, 2000)

*The Case for Director Credentialing,* VHS videotape  
(Boston, MA: Taking the Lead, Center for Career Development in Early Care and Education, Wheelock College, 2000)

*Child Development and Social Policy: Theory and Applications,* by Edward F. Zigler and Nancy W. Hall  
(New York, NY: McGraw-Hill, 2000)

*Confronting the Crisis: Childcare in America,* VHS videotape  
(New York, NY: Lifetime Television for Women, 2000)

*Leaders in the Making: New Pathways to Quality,* VHS videotape

(Boston, MA: Taking the Lead, Center for Career Development in Early Care and Education, Wheelock College, 2000)

*Lessons of a Century: A Nation's Schools Come of Age,*  
(Bethesda, MD: Editorial Projects in Education, 2000)

*"New Screen Concepts: The Child Care Partnership Project,"* VHS videotape

(South Norwalk, CT: Palace, 2000)

*"A Policy Forum: Education Accountability: First the School System, then the Students,"* VHS videotape  
(New York, NY: National Urban League Forum, 1999)

*"The Power of Peers,"* VHS videotape  
(Cambridge, MA: Harvard Law School, 2000)

*Preventing School Injuries: A Comprehensive Guide for School Administrators, Teachers, and Staff,*

by Marc Posner

(New Brunswick, NJ: Rutgers University Press, 2000)

*Schools of the 21st Century: Linking Child Care and*

*Education,* by Matia Finn-Stevenson and Edward Zigler

(Boulder, CO: Westview Press, 1999)

*Starting Out Right: A Guide to Promoting Children's*

*Reading Success,* edited by Susan M. Burns, Peg Griffin,

Catherine E. Snow

(Washington, DC: National Academy Press, 1999)

*Thinking Practices in Mathematics and Science Learning,*

edited by James G. Greeno and Shelly V. Goldman

(Mahwah, NJ: Lawrence Erlbaum Associates, 1998)

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## International Development

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*Africa and the Successor Generation,* summary report

and papers presented at the 10th anniversary meeting

of November 26-28, 1998, at Cotonou, Benin, edited

by Bolaji Abdullahi

(Ogun State, Nigeria: Africa Leadership Forum, 1998)

*No Future Without Forgiveness,* by Desmond Mpilo Tutu

(New York, NY: Doubleday, 1999)

*Partners for Peace: An Initiative on Sudan with General*

*Olusegun Obasanjo,* by Francis M. Deng

(Ogun State, Nigeria: Africa Leadership Forum, 1998)

*Public Libraries in Africa: A Report and Annotated*

*Bibliography,* by Aissa Issak

(Oxford, United Kingdom: International Network for

the Availability of Scientific Publications, 2000)

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## International Peace and Security

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*The Ambivalence of the Sacred: Religion, Violence, and Reconciliation,* by R. Scott Appleby

(New York, NY: Rowman and Littlefield, 2000)

*America and the East Asian Crisis: Memos to a President,*

edited by Robert B. Zoellick and Philip D. Zelikow

(New York, NY: W.W. Norton & Company, Inc., 2000)

*Confessions at Any Cost: Police Torture in Russia,*

report by Human Rights Watch

(New York, NY: Human Rights Watch, 1999)

"A Decade of Success," Women In International

Security celebrates its tenth anniversary and the

60th birthday of WIIS founder Catherine McArdle

Kelleher, VHS videotape

(College Park, MD: Women In International Security, 1999)

*Democracy in Developing Countries: Latin America,*

second edition, edited by Larry Diamond, et al.

(Boulder, CO: Lynne Rienner, 1999)

*European Security Institutions: Ready for the*

*Twenty-First Century?* edited by John R. Galvin

and Robert L. Pfaltzgraff

(Herndon, VA: Brassey's, 2000)

*From Conflict to Dialogue: The WSP Guatemala Way,*

edited by Edelberto Torres-Rivas and Bernardo Arévalo

de León

(Sede, Guatemala: Facultad Latinoamericana de

Ciencias Sociales, 1999)

*The Generals' War: The Inside Story of the Conflict in the*

*Gulf,* by Michael R. Gordon and Bernard E. Trainor

(Boston, MA: Little, Brown and Company, 1995)



*Islam and Central Asia: An Enduring Legacy or an Evolving Threat?* edited by Roald Sagdeev and Susan Eisenhower

(Washington, DC: Center for Political and Strategic Studies, 2000)

*Opportunities Missed, Opportunities Seized: Preventive Diplomacy in the Post-Cold War World*, edited by Bruce W. Jentleson

(New York, NY: Rowman and Littlefield Publishers, Inc., 2000)

*Principles of Global Security*, by John D. Steinbruner  
(Washington, DC: Brookings Institution Press, 2000)

*Repairing the Regime: Preventing the Spread of Weapons of Mass Destruction*, edited by Joseph Cirincione  
(New York, NY: Routledge, 2000)

"Time to Abolish War," VHS videotape  
(New York, NY: The Hague Appeal for Peace, 1999)

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## Democracy/Special Projects

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"An Extraordinary Place: Doing Extraordinary Things," VHS videotape  
(Philipsburg, MT: Project Vote Smart, 1999)

"Justice for Sale," VHS videotape  
(San Francisco, CA: Center for Investigative Reporting, Inc., 1999)

"Make Yourself Count: Training Video," VHS videotape in Spanish  
(Los Angeles, CA: Mexican American Legal Defense and Educational Fund, 1999)

*The Moral Authority of Government: Essays to Commemorate the Centennial of the National Institute of Social Sciences*, edited by Moorhead Kennedy, Gordon Hoxie and Brenda Repland  
(New Brunswick, NJ: Transaction Publishers, 2000)

*The New European Diasporas: National Minorities and Conflict in Eastern Europe*, edited by Michael Mandelbaum  
(New York, NY: Council on Foreign Relations Press, 2000)

*Open the Books and See All the People*, edited by Caren Shilling and Roseanne Cerney  
(Jamaica, NY: Queens Borough Public Library, 2000)

*Seeking Solutions with Hedrick Smith*, public television program kit containing a community action guide and community information videotape, including three one-hour segments of the public television presentation  
(Bethesda, MD: Hedrick Smith Productions, 1999)  
    "Teen Violence"  
    "Street Crime"  
    "Hate Crime"

"Show Me the Money: A Video Story Reel on Money and Politics," VHS videotape  
(Washington, DC: Radio and Television News Directors Foundation, 2000)

*Television and Elections*, second edition, by Ellen Mickiewicz, Charles Firestone and Laura Roselle, foreword by Jimmy Carter  
(Durham, NC : DeWitt Wallace Center for Communications and Journalism, Duke University, 1999)

"WIIS Works!" VHS videotape  
(College Park, MD: Women In International Security, University of Maryland Foundation, 1999)





## Report on Dissemination



## Effective Dissemination in the Information Age

*by Susan Robinson King, rice president, public affairs*

**After a long hiatus, under the leadership of Vartan Gregorian, the Dissemination Program was revitalized in the year 2000.** The idea of widely disseminating the research and work of the foundation and its grantees, an idea so passionately articulated by Andrew Carnegie, has always been at the heart of the foundation's mission. But with the full power and potential of the Internet revealing itself by the end of the 20th century, it became clear that the information and knowledge revolution underway demanded a more sophisticated and muscular response if the Corporation's dissemination efforts were to be successful. To elevate ideas central to the national agenda on education, peace and security, international development and democratic ideals would require strategies that utilize all the skills of good writing and clear thinking as well as all the tools of modern technology—from the Internet to the video.

As a journalist for 20 years, I am acutely aware that the way news enters the national conversation has changed. The country—indeed, the connected village that is the world—now faces a barrage of information; in fact, a lot of noise. A well-researched and

well-written report on a serious national issue will not necessarily receive the attention it might have early in the century when Andrew Carnegie could influence both the press and policymakers. Carnegie Corporation, to remain true to the mission its founder gave it,



needs to focus on its most urgent priorities, create multidisciplinary approaches to dissemination and plunge into the opportunities and the challenges (pitfalls) that the information revolution presents.

With information doubling every four years and Americans facing a bombardment of messages from a plethora of information outlets that have mushroomed without safeguards, the Corporation, under the auspices of the Public Affairs division, launched a new half-million dollar dissemination program that has one goal: to lift some of our most important initiatives and grantees above the noise and to increase their potential for making a difference.

The conviction behind revitalizing the Dissemination Program is simple: ideas matter. Marketing them is imperative. Finding the correct audience is critical. We are committed to the proposition that communicating the work of the foundation and grantees is not an add-on, a luxury or something to consider when we have time. Communication is central to the Corporation's mission and, in the midst of an information revolution, the organization must practice strategic communications at the highest level and experiment with newly available forms of dissemination.

Our first experiment, early in 2000, aimed to inform audiences of a new children's television program produced by Sirius Thinking, Ltd., a creative organization of *Sesame Street* alumna, and WGBH-TV in Boston. The show—set in a library and featuring a family of puppet lions—teaches the elements of reading and encourages a love of books. Carnegie Corporation was part of the educational team that developed the program, entitled *Between the Lions*, and its investment assured the program's debut in the spring of 2000. But

because the show was being launched at a time of year when the public isn't used to seeing a new television series begin, what was needed was to make the potential audience—children, parents, educators and the press—aware that it was going on the air. In April, the Corporation hosted the program's premiere, with an old-fashioned ice cream social attended by a capacity crowd of 530 in New York City. Leaders from the foundation, journalistic and educational communities cheered the puppets and the program, which has won raves from television critics and educators across the country. *Between the Lions* has now gained new funders and is set to debut a second season.

In 2000, the Corporation launched its Carnegie Scholars program, which supports selected individual scholarship in areas of interest to the Corporation. To fully introduce the

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*The conviction behind revitalizing the Dissemination Program is simple: ideas matter.*

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Carnegie Corporation competition to an academic audience and to put the spotlight on the potential impact of scholarship, the foundation bought advertisements in the *New York Times*, the *Washington Post*, the *Chronicle of Higher Education* and *Education Week* announcing the 12 winners of the inaugural competition. The headline was simple: SOCIAL CHANGE BEGINS WITH SCHOLARSHIP.

In conjunction with the International Peace and Security Program, the Public Affairs division is also experimenting with an innovative video component of the Corporation's Russia Initiative, a multidisciplinary assessment of the changes and challenges in Russia today.

We hired noted documentary film producer Robert Frye and his company to work with the members of the initiative during the summer of 2000 to create a television companion piece to the initiative's final report, due to be published in winter 2001. Frye traveled from New York to Washington, D.C. and from Budapest to Moscow, taping the proceedings of the initiative's scholarly groups and capturing their conversations and threads of analysis. In September, he spent a month in Russia with his producers and film crew, working with scholars and leaders there to create a one-hour

*We believe that the stories of scholarship, the development of new models of reform, and research on issues ranging from early childhood development to biological weapons conventions are the true reflection of America's profound changes in this new century.*

documentary on the economic, social, political and military changes taking place in the country. The documentary will be part of the foundation's archives; the video itself, entitled *The Voices of the Russia Initiative*, was shown in August 2000 in Prague at the Aspen Institute's seminar on Russia.

Neil Graboys, Vice President and Director of Strategic Planning and Program Coordination, has challenged the Corporation to find new ways to invest in the ability of grantees to grow. When the Corporation dis-

covered that many of its grantees were moving their communication and dissemination programs to the web and requesting support for web development, we initiated an outreach program that we expect will be a hallmark of the Gregorian years. Public Affairs—through the Dissemination Program—planned and implemented a technical assistance conference to enhance communications techniques for 60 grantees from across the United States and a half-dozen African countries. Program officers throughout the foundation nominated grantees who they thought could benefit from such a workshop, which focused on the basics, challenges and key strategies for creating an effective web presence. The aim was to help grantees strengthen their ability and capacity to tell their story.

"Telling the story" remains the critical element in all good communication. As Public Affairs deepens and expands the Corporation's commitment to the Dissemination Program, it will have one goal—to clearly and conscientiously challenge the American public with knowledge, cogent research and unbiased analysis. We believe that the stories of scholarship, the development of new models of reform, and research on issues ranging from early childhood development to biological weapons conventions are the true reflection of America's profound changes in this new century. We believe that telling these stories—through the efforts of the Corporation and its grantees—will ultimately lead to "the advancement and diffusion of knowledge and understanding," the task mandated to the Corporation by Andrew Carnegie.



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## Public Affairs Division

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Until this year, the communications arm of the Corporation was referred to as the Publications Division. This year, along with a name change, the work of the division was expanded and the staff reorganized to reflect a more aggressive media outreach plan and the need to focus not only on print publications but on the online component of the foundation's work.

Believing that the job of Public Affairs is to leverage the ideas that the foundation promotes, the division is focused on:

Publications that are probing and bold.

A media relations attitude that is responsive to daily journalistic needs and can provide important information in our four program areas.

An outreach that is targeted and modern.

In that spirit, we launched the *Carnegie Reporter*, the descendent of the *Carnegie Quarterly* which debuted in the 1950s. This publication will appear twice a year to begin with and feature ideas that are on the Corporation's agenda, as well as serve as a hub for foundation ideas from across the country. A web version, which can be updated between editions, appears on the Corporation's site.

To serve grantseekers, researchers and journalists alike, the web site has expanded dramatically in the past year, particularly with regard to its featured information and navigational power. To enhance understanding of the Corporation's work, a grants database was added to our web site to enable visitors to search 10 years' worth of information about Corporation grantees. *Newsline*, the quarterly list of new grants released after each board

meeting, has been turned into a web publication with links to grantees' web sites. The annual report—the embodiment of the Corporation's commitment to a transparent window on its workings and its financials—will continue to be published both in print and online.

Carnegie Challenge Papers were launched this year; they are focused reports on initiatives underway in the Corporation's program areas and contain critical information on these subjects. The first paper in the series, which reported on the liberal arts, assisted in defining the debate in this field of higher education and helped launch liberal arts as a new area of inquiry for the Corporation.

On the news front, Public Affairs promoted two new initiatives: the *Partnership to Strengthen African Universities* and *Schools for a New Society*, aimed at urban high school reform in the United States. Both received national and regional media attention.

In the year 2000, a clear and focused vision has been put in place for the public affairs division of the Corporation. But, like with all visions, the real work lies ahead in the execution of that vision—in the writing, filming and editing of ideas that can make a difference.





## Report on Administration



## Fiscal 2000: The Year in Review

*by Edward M. Sermier, vice president, chief administrative officer and corporate secretary*

**It was a busy and dynamic year for Carnegie Corporation's Board of Trustees.** In addition to their traditional responsibilities for guiding the foundation, board members, for the second year, invested substantial time and energy in subcommittee reviews of program strategy and direction. Some trustees even traveled as far as South Africa and the Czech Republic on foundation business. At the same time, board membership became less restricted as a result of an amendment to the constitution that would allow trustees to serve past the age of seventy.

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### Board And Committees

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At its annual meeting on February 1, 2000, the board elected a new trustee, Bruce M. Alberts, and expressed its appreciation for the work of four retiring trustees, James A. Johnson, Shirley M. Malcom, Henry Muller, and Dr. James J. Renier. Board members warmly thanked each of the departing trustees and, collectively, issued a formal "minute of

appreciation" for each member's work and special contributions. To Johnson, the board said it would miss "your high aspirations for this foundation and this country, your breadth of experience, and your insightfulness." For Malcom, the board rued the loss of her "strong voice on the board as a scientist with a deep and wide social conscience and your commitment to equity and excellence across national, economic, gender, and racial boundaries." After citing Muller as "an ideal board member,"



the board said, "You have encouraged the foundation to address tough issues in innovative ways, especially as it works to strengthen American democracy and to increase American awareness of the global nature of important political, social, and economic issues." The board praised Renier for his commitment to improving the education and lives of children, saying that he was a "practical visionary, grounded in the experiences of the neglected and the underserved and of those who are helping them."

The board elected its newest member, Bruce Alberts, to a four-year term, starting October 2000. Alberts is president of the National Academy of Sciences, a private, non-profit organization Congress created in 1863. As president, he also chairs the academy's National Research Council and oversees its 1,100 employees, who work on science, engineering and health policy studies. His interest in improving the teaching of science and mathematics has, among other things, led to the development of the National Science Education Standards, which are being adopted by school systems nationwide. Alberts, who earned a Ph.D. from Harvard University in 1965, is also known for his work in both biochemistry and molecular biology; he is a principal author of *The Molecular Biology of the Cell*, considered one of the leading texts in the field. He joined the academy in 1981 and was elected to his first six-year term as president in 1993 and his second and final term in 1999. Prior to the academy, he taught at Princeton University and at the University of California, San Francisco, where he also held administrative positions.

In other membership activities at the February board meeting, the trustees re-elected Governor Thomas H. Kean as chairman of the



"Aim for the highest."

board and re-elected Helene L. Kaplan as its vice chairman. Dr. Marta Tienda was re-elected to a four-year term. The board also elected members to serve on various committees for the fiscal year 2000.

The Corporation's three standing committees were reconstituted as follows: Elected to serve on the planning and finance committee were Vincent Mai, Olara Otunnu, Marta Tienda, and Helene Kaplan, who was elected by committee members to serve as chair. Elected to the investment management committee were Raymond Smith, Martin Leibowitz, and Vincent Mai, who was elected chair by committee members. Elected to the committee on trustees were Teresa Heinz, Vincent Mai, William A. Owens, Dr. Ruth Simmons, Marta Tienda, and Olara Otunnu, who committee members elected chair.

The board also elected members to four subcommittees of the program committee.

*Board actions at the annual meeting included a resolution to match (on a two-to-one basis up to \$10,000 a year) staff members' personal contributions to publicly supported charities.*

Elected to the subcommittee on education were Helene Kaplan, Vincent Mai, Ruth Simmons, Raymond Smith, and Marta Tienda. Elected to the subcommittee on international peace and security were Helene Kaplan, Martin Leibowitz, Sam Nunn, Olara Otunnu, William Owens, and Judy Woodruff. Elected to the subcommittee on international development

were Teresa Heinz, Martin Leibowitz, Vincent Mai, Olara Otunnu, and William Owens. Elected to the subcommittee on democracy and special projects were Teresa Heinz, Sam Nunn, Ruth Simmons, Raymond Smith, Marta Tienda, and Judy Woodruff.

Both Governor Thomas H. Kean, chairman of the board, and Vartan Gregorian, the Corporation's president, serve *ex officio* on all standing committees. Finally, designated membership of the ad hoc committee on compensation includes the chair of the board, Kean, and Helene Kaplan in her dual roles as the vice chair of the board and chair of the planning and finance committee."

Board actions at the annual meeting included a resolution to match (on a two-to-one basis up to \$10,000 a year) staff members' personal contributions to publicly supported charities. The board also amended the Corporation constitution to eliminate the age restriction, which had precluded trustees from serving past the age of seventy. Trustees are still limited to eight consecutive years of service on the board, except for the chairman of the board who may serve more years while in the office of chairman.

Earlier, at the October 1999 meeting, the board established a formal policy to avoid potential conflict of interests. Under the policy, trustees and staff member are obliged to disclose any affiliation they have with a person, firm, organization, or corporation that has a matter pending before the foundation. The policy also requires that, when there is such an affiliation, it should be noted formally, and trustees and staff members with affiliations should refrain from participating in discussions, decision-making processes, or voting on the matter.



## MILESTONES

Fiscal year 2000 saw a number of important staff changes, and the Corporation expressed its appreciation and gratitude to some departing staff members while welcoming newcomers to new and existing programs.

Vivien Stewart, chair of the education division, left the Corporation after twenty-eight years to become a visiting scholar at Columbia University's Teachers College and also to serve as an education advisor to Olara Otunnu, United Nations Special Representative of the Secretary-General for Children and Armed Conflict. In April 2000, the board expressed its "deep appreciation, respect, and personal gratitude for your distinguished term of service as program officer, associate secretary, program chair, acting vice president, and special advisor to the president."

Daniel Fallon accepted the position of chair of the Corporation's education division, starting in August 2000. Born in Cartagena, Colombia, Fallon grew up in Silver Spring, Maryland, and received his B.A. degree from Antioch College, and his M.A. and Ph.D. degrees in experimental psychology from the University of Virginia, Charlottesville. He has held prestigious teaching and administrative posts at the State University of New York at Binghamton, University of Colorado at Denver and Texas A&M University. More recently, at the University of Maryland at College Park, he served as vice president for academic affairs and provost in addition to holding faculty appointments as professor of both psychology and public affairs. In 1999 he became interim director of the Office of International Affairs at the university.

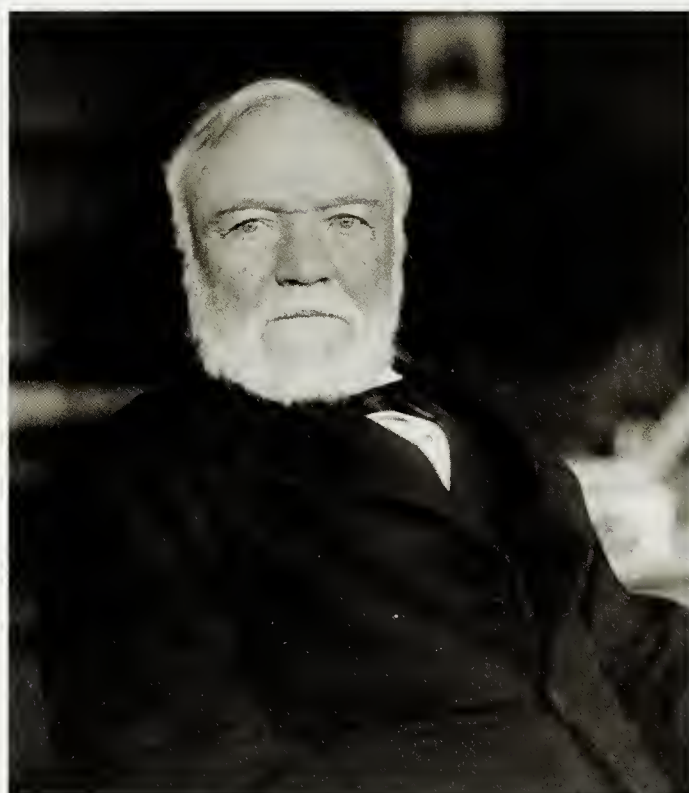
Narciso Matos moved to New York from Ghana, where he served as secretary general

of the Association of African Universities in Accra-North, to become the Corporation's senior program officer in International Development. In that capacity, he is helping launch Carnegie's program to strengthen higher education in Africa. A chemist by training, Matos conducted research and taught at his alma mater, Eduardo Mondlane University in Maputo, Mozambique; subsequently, he became dean of its faculty and, ultimately, vice chancellor. Drawn to the world of public policy, Matos also served as a member of Mozambique's Parliament between 1986 and 1995.

Susan Robinson King, vice president for public affairs, created two new positions—director of publications and public affairs writer—to increase the Corporation's ability to communicate the results of its work, in keeping with Andrew Carnegie's wish that the foundation promote "the advancement and diffusion of knowledge and understanding." To strengthen internal communications and research efforts, King also recommended, together with the corporate secretary's office, that the position of librarian and online researcher—held by Ron Sexton—be housed in the public affairs division.

In accepting the position of director of publications, Eleanor Lerman returns to the Corporation where, early in her career, she was an editorial associate. From 1987 to 1999, Lerman was director of publications and online services for the American Lung Association.

Michael deCourcy Hinds joined the Corporation as public affairs writer in September 2000. He was executive editor and a vice president at Public Agenda, a nonprofit organization that publishes print and online guides to public issues. His earlier



“I believe the true road to preeminent success in any line is to make yourself master in that line.”

work in journalism includes sixteen years at *The New York Times*, where assignments ranged from covering the Reagan Administration in the Washington bureau to serving as bureau chief in Philadelphia.

Cynthia M. Gibson was named a program officer in the Democracy and Special Projects program, and she brings a rich portfolio of experience from the nonprofit world to the Corporation. She has worked extensively as a consultant in marketing, communications and planning and, earlier in her career, was director of communications and development for the National Family Planning and Reproductive Health Association. Currently, she is a doctoral candidate in social work, public policy and administration at Rutgers University. Also joining the staff last year were: David Ekbladh and Rosalind Rosenberg, research associates to David Hamburg, president emeritus; Rebecca Feeley, administrative assistant, International Development program; Molly McLaughlin, administrative assistant, Democracy and Special Projects; Louise Trotman, executive assistant, Democracy and Special Projects; Anika Walker-Johnson, administrative assistant, International Development program. After twenty-nine years of service, Avery Russell retired as director of publications and director of public affairs, to become special advisor to the president.

In the International Peace and Security program, Patricia Moore Nicholas was promoted to program associate from program assistant.

The Corporation also expresses special thanks to staff members who left for other pursuits in the last fiscal year. After spending a sabbatical year helping advance the Corporation's work in higher education,



Donald M. Stewart, a former president of Spelman College and a former president of the College Board, left to become president of the Chicago Community Trust. Also leaving the Corporation for other pursuits were: Jeannette Aspden, editor for special projects; Karen Ballentine, research associate; Hedy Charney, executive assistant; Lucy Carsen, secretary; Annette Dyer, research associate; Lawrence Levine, clerk; Bernadette Michel, program assistant; Eric Jeffrey Miller, information systems specialist; Elizabeth Monroe, administrative assistant; Jenelle Nero, administrative assistant; Rachel Piccione, secretary; Susan Smith, program associate; and Jessie L. Green, records assistant.

In December 1999, the Carnegie Commission on Preventing Deadly Conflict, which was created in 1994, completed its work. With the disbanding of the commission, nine staff left the Corporation for other institutions. They are: Esther Brimmer, senior associate; Robert Lande, senior writer and editor; Mary Wiley, assistant to the executive director; Cornella Carter-Taylor, office administrator; Wanda Ellison, administrative assistant; Jane Holl, executive director; Thomas Leney, senior associate; Anita Sharma, assistant editor and program assistant; and Traci Swanson, research associate.

Finally, our thanks to Dorothy Wills Knapp, who left the corporation after serving as corporate secretary for fourteen years. The trustees asked me to assume this responsibility with the assistance of Armanda Famiglietti, formerly the corporation's grants manager, who was named associate corporate secretary in February.





## Report on Investments



## Investing for the Long Term

*by D. Ellen Shuman, vice president and chief investment officer*

**Andrew Carnegie endowed the Corporation to pay societal dividends forever and, at the close of fiscal 2000, his foundation was guardedly optimistic about the prospects for reaching that lofty goal of institutional immortality.** A decade of strong markets has lifted his endowment to a record market value. Moreover, a multiyear effort to align investment and spending policies has made the Corporation's portfolio stronger and more resilient than ever.

Over the last ten years the endowment generated an annual compound return of 14.9 percent, increasing its the market value to \$1.93 billion, from \$835 million. In the fiscal year, which ran from October 1, 1999 to September 30, 2000, the portfolio provided a total return of 18.6 percent, or 7.1 percent higher than the Corporation's overall target policy benchmark<sup>1</sup> and the various market indices on which it is based.

Carnegie was clear about his vision, if not it's difficulty. On November 11, 1911, in his first letter to trustees about his gift, he wrote: "My chief happiness as I write these lines is the thought that even after I pass away the wealth that came to me to administer as a sacred trust for the good of my fellowmen is to continue to benefit humanity for generations untold, under your devoted and sympathetic guidance and that of your successors."

<sup>1</sup> The target policy benchmark provides a way to compare the performance of the Corporation's portfolio with appropriate market indices. Each of the portfolio's asset classes (stocks, bonds, real estate, etc.) has a benchmark; the policy benchmark is calculated by multiplying the actual return of an appropriate market index (such as the S&P 500) for each class of assets by the percentage of the Corporation's portfolio that is allocated to that class. The total portfolio policy benchmark, the sum of these benchmark calculations, provides an overall measure of actual performance relative to market indices.



At the time, though, he underestimated the challenge of maintaining the purchasing power of his \$135 million endowment against the headwinds of inflation and recession. Even today, when the endowment's nominal value is at an historic high, it represents only 84 percent of the \$2.3 billion inflation-adjusted value of Carnegie's original gifts. The challenges posed by the twin evils of inflation and recession are clearly seen in the Corporation's own financial history. In a 1980 memo, Richard H. Sullivan, then Treasurer of the Corporation, provided a factual account of the devastating impact of high inflation on the portfolio's purchasing power as well as details about three financial hurricanes that threatened the Corporation's existence.

Sullivan reported that the foundation, soon after its creation, lost almost half the real, or inflation-adjusted, value of its endowment. Between calendar years 1916 and 1920, inflation had a compound annual average in the low teens, soaring over 20 percent in 1918. After nearly recovering its original purchasing power, the endowment again lost almost half of its real value between 1941 and 1948, when inflation averaged about 7 percent per year, having peaked at 18 percent in 1946. After another two decades and another, even weaker, recovery, the endowment lost 41 percent of its value between 1972 and 1974. Then the nominal value of the Corporation's investments had plummeted from \$370 million to just under \$200 million, thus retaining only about 30 percent of the original endowment's purchasing power. That precipitous drop was primarily due to the effect of inflation shooting over 8 percent in 1973 and over 12 percent in 1974—at the same time the stock market lost 37 percent of its value.

Even while the endowment was being blasted by the 1973-1974 inflation and recession, the foundation also had to comply with a new budgetary requirement. In 1969, Congress required private foundations to annually pay out—for both grants and administration—either all income from their assets, or, at the U.S. Treasury's discretion, up to 6.75 percent of their assets, whichever amount was higher. (In 1976, Congress changed the minimum payout rate to all income or 5 percent, whichever is higher; in 1981, Congress struck the income standard from the regulation.) The reform addressed a problem with some tax-favored foundations that weren't active in making grants.

In that regard, the Corporation was not a laggard. With a few minor exceptions between 1911 and 1969, the Corporation annually spent all income earned from investments. Between 1969 and 2000, Corporation spending on grants and administration went as high as 7.2 percent of its assets and annually aver-

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aged 5.2 percent. In 1995, the foundation also passed a philanthropic landmark, having made more than \$1 billion in grants; in the last five years, spending has exceeded \$363 million.

The boom market of the 1990s has made it look deceptively easy to maintain the endowment's purchasing power, but that is not the case, as is clear from both the Corporation's

financial history and the expected returns of the capital markets over long periods of time (assuming that past history is a reasonable guide for the future). The mandated minimum payout of 5 percent creates quite a challenge for philanthropies that were created as permanent benefactions. After considerable study, the Council on Foundations has concluded that the Federal spending level is reasonable but, nevertheless, can be a budgetary straightjacket. One of the Council's recent studies reported: "Foundations cannot maintain current charitable payout rates at 6 percent or above if they also wish to maintain their portfolio's purchasing power. Even to achieve real returns that will support charitable payouts of 5 percent will require more aggressive asset mixes than are now used by many foundations."

The difference made by a single percentage point in spending over time is considerable, and individuals face the same mathematics in retirement. In an educational brochure for older Americans, for example, Vanguard Group gave a hypothetical situation in which a 65-year old retiree would exhaust savings in 20 years by withdrawing 5 percent a year. But if the retiree reduced annual spending to 4 percent, the savings would last for 35 years.

For philanthropies, the challenges of planning for operation in perpetuity are considerable. To succeed, philanthropies must earn a return on their investments that slightly exceeds inflation plus the amount expended each year. That means that foundations must generate an average annual compound return of at least 8 percent, assuming an inflation factor of 3 percent and the 5 percent Federal minimum for spending. During the Corporation's first 40 years, it did not reach this goal; its portfolio

was primarily invested in bonds, whose total returns were outpaced by inflation. However, during the early 1950s the Corporation shifted a greater percentage of assets into common stocks, allowing the portfolio to keep pace with inflation. Even with the financial blow in 1973-1974, the portfolio generated an annual compounded return of 4.7 percent, net of spending for grants and administration, and 0.7 percent after accounting for inflation, between 1950 and 2000. While only a fraction of a percent, this positive real return over a half-century has added more than \$500 million to the endowment, which today generates an additional \$25 million annually in spending.

Starting in 1996, the trustees and a group of outside investment advisors reviewed the Corporation's investment and spending policies. Over the following four years, trustees reformed these policies pursuant to recommendations made during the review. They created an investment office within the Corporation, headed by a vice president and chief investment officer, to oversee the portfolio. The trustees diversified the portfolio through the addition of alternative investments—including real estate, private equity<sup>2</sup> and absolute return strategies<sup>3</sup>—in order to enhance the probability that the portfolio would maintain purchasing power over a long time horizon. Finally, they modified the spending policy to link it more closely with investment policy.

With regard to spending, the trustees targeted an annual spending level of 5.5 percent of the average value of the endowment over the prior 12 quarters. Previously, the spending rate had been allowed to fluctuate, generally between 5 and 6 percent of the annual market value. This change—to a fixed

<sup>2</sup> Private equity includes investments in venture capital and leveraged buyouts.

<sup>3</sup> Absolute return strategies use marketable securities to generate equity-like returns, but with lower volatility and a low correlation with the public markets. Example of absolute return investments include event-driven strategies such as risk arbitrage and distressed security investing.



spending rate and to an average asset value over a longer period of time—imposes more certainty and discipline in spending and helps to stabilize the level of grantmaking through rising and falling markets.

As for investments, the trustees and investment advisers sought to strengthen the portfolio, primarily by recognizing the Corporation's unique competitive advantages as a investor. For example, the foundation does not have to satisfy multiple constituencies and, thus, can invest with independence. Another advantage is that the Corporation's long-term perspective allows it to be a patient investor, with the ability to tolerate illiquidity and to seek out contrarian strategies that are often attractive in the long-term but may go against conventional wisdom in the short-term.

Bearing in mind its strengths, the Corporation has refocused its efforts on long-term investment policy. Many studies, including work done by Nobel Prize-winning economists, have concluded that as much as 95 percent of a portfolio's returns are determined by

its overall mix of assets, and that only about 5 percent of the returns depended on the actual securities selected or by market timing. In his book, *Winning the Loser's Game*, Charlie Ellis helps explain this apparent paradox.

Describing the daunting challenge of buying and selling at the right time, he wrote, "One careful study of market timing concluded that an investment manager would have to be right on his market forecast 75 percent of the time for his portfolio just to break even after measuring the costs of mistakes and the costs of transactions." With respect to security selection, Ellis wrote: "Investment research is done so very well by so many...that no one group of investors is likely to gain a regular and repetitive useful advantage over all other investors. And the only way to beat the market is to beat the other professionals who, as a group, are the market."

Today, the Corporation continues to review its asset allocation annually. As of September 30, 2000, the target allocations for the portfolio are as follows:

Asset Class	Target Allocation	Benchmark
Domestic Equity	25.0%	Russell 3000
International Equity		
Developed Markets	15.0%	MSCI World ex-U.S.
Emerging Markets	6.5%	MSCI Emerging Mkts Free
Fixed Income	15.0%	Lehman Brothers Aggregate
Absolute Return	12.5%	Inflation + 7%
Private Equity	15.0%	Russell 2000 + 500 basis points
Real Estate	10.0%	NCREIF Property Index
Cash	1.0%	91-day Treasury
<b>Total</b>	<b>100.0%</b>	



“My chief happiness is the thought that even after I pass away the wealth that came to me to administer is to continue to benefit humanity for generations untold.”

The Corporation attempts to maintain its actual allocation very close to its policy targets, rebalancing when necessary. For example, in 1998, Emerging Markets securities declined sharply. Instead of joining the exodus from Emerging Markets, the Corporation in early 1999 added to the asset class, rebalancing back to the long-term policy target, then, of 5 percent. The sector subsequently rebounded dramatically, prompting the Corporation to sell some of these assets, locking in substantial gains in the rebalancing process. Thus, the discipline of rebalancing ensures that the Corporation buys low and sells high.

Over the last decade, the biggest single change in the Corporation's asset allocation has been increasing its equity exposure, broadly defined, from about 60 percent to more than 80 percent; and a comparable decrease in its fixed-income holdings, from about 40 percent to less than 20 percent. This gradual shift to a higher equity allocation recognizes that the inflation-adjusted return for bonds falls below the Corporation's spending requirements and, thus, is likely to drag down the endowment's purchasing power over time.

Bonds, however, provide a measure of safety. At the same time the Corporation reduced its holdings in bonds, it substantially improved their quality. This upgrading involved shifting fixed-income investments to U.S. government, agency and mortgage securities, which are rated “AAA,” and corporate bonds with investment grade ratings of “A” or higher. Such high-quality fixed-income investments can provide a powerful hedge against deflation or financial disasters. For example, during the crash of 1987 and the Long Term Capital Management crisis of 1998 that destabilized markets, high-quality bonds benefited from investors' flight to quality. The ability of this



asset class to withstand stress in the financial markets protects the portfolio during such difficult periods by allowing the Corporation to raise the cash it needs for grants and operations by selling its bonds at a profit instead of being forced to sell its stocks at a loss.

Going forward, the portfolio is well positioned to achieve its goals of maintaining or increasing the purchasing power of the endowment so that the Corporation can generate a stable flow of funds to our grantees in perpetuity. All of which means that the future looks good for Andrew Carnegie's vision that his foundation would be around forever, thus, gaining extraordinary leverage for addressing mankind's global challenges.





## Report on Finances

## Financial Highlights

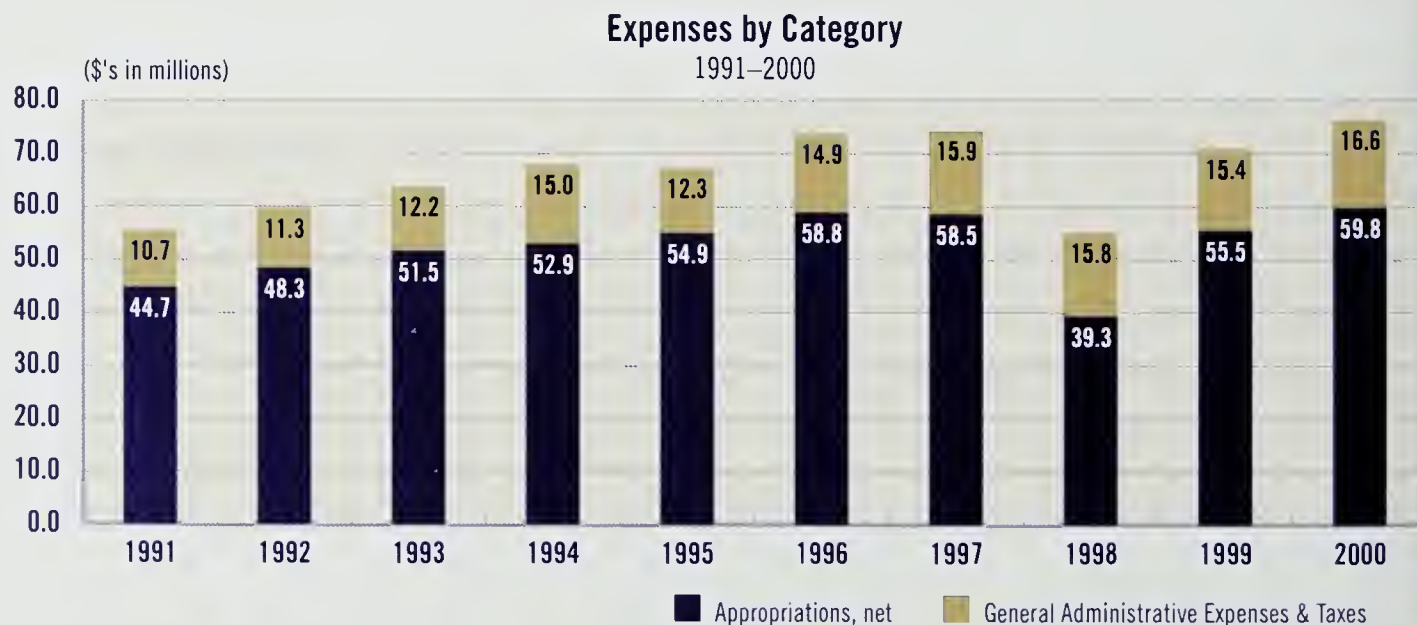
by Robert J. Seman, director of finance

### Appropriations and Expenses

For the ten years ended September 30, 2000, the Corporation awarded 2,655 grants totaling \$524.3 million. It incurred expenses of \$116.5 million for direct charitable activities and

administration expenses, excluding investment expenses, and \$23.6 million for taxes, for a total of \$664.4 million.

The graph below illustrates the growth in expenses by category over the ten-year period ended September 30, 2000.





Each year the trustees appropriate funds to be used for grants and for projects administered by the officers. Many of the grants involve multiyear commitments. In the fiscal year ended September 30, 2000, 64 percent of the appropriated funds were paid within the fiscal year. Appropriations, net of refunds and cancellations, totaled \$59.8 million, compared to \$55.5 million in the preceding year.

The general administration and program management expenses were \$10.5 million in the fiscal year ended September 30, 2000, compared with \$9.6 million in the previous fiscal year. Amounts spent for direct charitable activities were \$2.2 million in 2000, compared

to \$1.7 million in 1999. Direct charitable activities are services provided directly to other exempt organizations, governmental bodies, and the general public. Such services include providing technical assistance to grantees and potential grantees, conducting educational conferences and research, publishing and disseminating educational materials, and serving on boards of other charitable organizations or public commissions.

The schedule below breaks down total expenses, excluding appropriations and taxes, for the year ended September 30, 2000, into categories.

	General administration and program management	Investment	Direct charitable activities	Total
Salaries	\$ 4,960,202	\$ 479,619	\$ 977,790	\$ 6,417,611
Investment advisory and custody fees	—	4,671,974	—	4,671,974
Employee benefits	2,008,630	152,886	368,941	2,530,457
Rent	1,036,792	110,840	195,885	1,343,517
Consultants	649,578	—	—	649,578
Quarterly and annual reports	44,038	—	561,822	605,860
Travel	486,232	59,129	2,679	548,040
Legal and accounting services	88,479	343,586	—	432,065
Office expenses	331,553	35,445	62,641	429,639
Conferences and meetings	295,470	9,706	3,573	308,749
Amortization and depreciation	189,087	—	—	189,087
Computer equipment and services	129,772	13,873	24,518	168,163
Trustees' honoraria and expenses	132,074	3,075	—	135,149
Other	197,461	14,626	26,832	238,919
<b>TOTAL</b>	<b>\$10,549,368</b>	<b>\$5,894,759</b>	<b>\$2,224,681</b>	<b>\$18,668,808*</b>

\* In 1999, total expenses, excluding appropriations and taxes, were \$16.6 million, which included \$5.3 million of investment expenses and \$1.7 million of direct charitable activities expenses.

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## Audit by Independent Accountants

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The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of KPMG LLP audited the Corporation's financial statements for the fiscal year ended September 30, 2000. The Corporation's financial statements, together with the independent auditors' report, appear on the following pages.

# Independent Auditors' Report

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The Board of Trustees  
Carnegie Corporation of New York:

We have audited the accompanying balance sheets of Carnegie Corporation of New York as of September 30, 2000 and 1999, and the related statements of changes in unrestricted net assets and cash flows for the years then ended. These financial statements are the responsibility of the Corporation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Carnegie Corporation of New York as of September 30, 2000 and 1999, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

**KPMG LLP**

KPMG LLP  
New York, New York

December 5, 2000



# Balance Sheets

September 30, 2000 and 1999

	2000	1999
<b>Assets</b>		
Cash	\$ 583,717	\$ 131,741
Investments-note 3	1,923,631,376	1,701,219,511
Accrued investment income	4,753,070	3,519,693
Prepaid expenses and other assets	150,350	125,318
Fixed assets-note 4	480,299	531,268
Total assets	<u>\$1,929,598,812</u>	<u>\$1,705,527,531</u>
<b>Liabilities and net assets</b>		
<b>Liabilities</b>		
Grants payable	\$ 24,684,352	\$ 25,406,100
Accounts payable and other liabilities	1,540,295	7,766,495
Taxes payable, net-note 5	501,454	86,417
Deferred taxes payable-note 5	4,314,877	3,848,890
Total liabilities	<u>31,040,978</u>	<u>37,107,902</u>
<b>Net assets</b>		
Unrestricted	1,763,220,966	1,533,082,761
Permanently restricted	135,336,868	135,336,868
Total net assets	<u>1,898,557,834</u>	<u>1,668,419,629</u>
Total liabilities and net assets	<u>\$1,929,598,812</u>	<u>\$1,705,527,531</u>

See accompanying notes to financial statements.

# Statements of Changes in Unrestricted Net Assets

for the years ended September 30, 2000 and 1999

	2000	1999
<b>Investment income</b>		
Interest and dividends	\$ 39,542,745	\$ 39,039,836
Income from partnerships, net	12,202,763	29,059,768
Net realized gain on investment transactions	181,244,563	111,667,610
Total realized investment income	232,990,071	179,767,214
Less investment expenses paid	5,894,759	5,310,256
Net realized investment income	227,095,312	174,456,958
<b>Expenses</b>		
Grant appropriations	57,644,244	51,548,953
Appropriations for projects administered by officers	2,172,722	3,984,879
General administration, program management, and direct charitable activities	12,774,049	11,282,275
Provision for taxes, net-note 5	3,800,176	4,074,808
Total expenses	76,391,191	70,890,915
<b>Excess of net realized investment income over expenses</b>	150,704,121	103,566,043
Increase in unrealized appreciation of investments, net of related deferred federal excise tax of \$1,621,104 in 2000 and \$2,950,296 in 1999-note 5	79,434,084	144,564,516
<b>Increase in unrestricted net assets</b>	230,138,205	248,130,559
Unrestricted net assets, beginning of year	1,533,082,761	1,284,952,202
<b>Unrestricted net assets, end of year</b>	<u>\$1,763,220,966</u>	<u>\$1,533,082,761</u>

# Statements of Cash Flows

for the years ended September 30, 2000 and 1999

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	2000	1999
<b>Cash flows from operating activities:</b>		
Change in net assets	\$ 230,138,205	\$248,130,559
Adjustments to reconcile change in net assets to net cash (used in) provided by operating activities:		
Change in unrealized appreciation of investments	(81,055,188)	(147,514,812)
Net realized gain on investment transactions	(181,244,563)	(111,667,610)
Depreciation and amortization	189,087	263,382
Deferred federal excise tax provision	465,987	3,840,428
Total adjustments	(261,644,677)	(255,078,612)
Change in accrued investment income, and prepaid expenses and other assets	(1,258,409)	(550,262)
Change in grants payable, accounts payable and other liabilities, and taxes payable	(6,532,911)	11,880,684
Net cash (used in) provided by operating activities	(39,297,792)	4,382,369
<b>Cash flows from investing activities:</b>		
Proceeds from sales or redemptions of investments	1,449,399,505	2,503,525,297
Purchases of investments	(1,409,511,619)	(2,509,200,589)
Purchases of fixed assets	(138,118)	(115,952)
Net cash provided by (used in) investing activities	39,749,768	(5,791,244)
<b>Change in cash</b>	451,976	(1,408,875)
Cash, beginning of year	131,741	1,540,616
<b>Cash, end of year</b>	<u>\$583,717</u>	<u>\$131,741</u>

See accompanying notes to financial statements.



# Notes to Financial Statements

*for the years ended September 30, 2000 and 1999*

## (1) ORGANIZATION:

Carnegie Corporation of New York (the Corporation) is a philanthropic grantmaking foundation that was created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding. The Corporation has a policy of selecting a few areas at a time in which to concentrate its grants.

## (2) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

The accompanying financial statements have been prepared on the accrual basis of accounting.

Fixed assets are stated at cost. Depreciation is calculated on a straight-line basis over the estimated lives of the related assets. Leasehold improvements are amortized over the remaining life of the lease.

For purposes of the statements of cash flows, cash includes all uninvested cash of the Corporation.

The resources of the Corporation consist of permanently restricted and unrestricted net assets. Permanently restricted net assets represent the original sums received from Andrew Carnegie who, by the terms of the conveying instrument, stipulated that the principal may never be expended.

The fair value of investments has been determined as indicated in note 3. The carrying amounts of the Corporation's other financial instruments approximates fair value because of their short maturity.

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

## (3) INVESTMENTS:

Readily marketable investments are reported on the basis of quoted market prices. Limited partnerships and similar interests are reported at fair value based on financial statements and other information received from the partnerships. The general partner determines the fair value of securities using quoted market prices, if available, or using other valuation methods, including independent appraisals. Investments in limited partnerships and similar interests totaled \$719,361,412 at September 30, 2000 and \$582,194,592 at September 30, 1999.

# Notes to Financial Statements

for the years ended September 30, 2000 and 1999

Investments are composed of the following at September 30, 2000 and 1999:

	September 30, 2000		September 30, 1999	
	Cost	Market/Fair Value	Cost	Market/Fair Value
Equities	\$ 812,595,273	\$ 891,504,614	\$ 772,722,957	\$ 847,976,702
Fixed income	383,799,720	384,908,206	341,169,250	325,279,532
Real estate	194,277,414	217,138,979	193,563,705	193,657,303
Absolute return	164,992,148	183,419,911	160,784,289	167,660,934
Private equity	139,370,847	247,882,340	81,231,639	163,796,585
Due (to) from brokers, net	(1,342,845)	(1,222,674)	2,864,040	2,848,455
Total	<u>\$1,693,692,557</u>	<u>\$1,923,631,376</u>	<u>\$1,552,335,880</u>	<u>\$1,701,219,511</u>

At September 30, 2000, the Corporation had unfunded commitments of approximately \$195 million in various private equity and real estate limited partnership investments.

As a result of its investing strategies, the Corporation is a party to off-balance-sheet index futures contracts. The Corporation's investment advisors use index future contracts to manage both short-term asset allocation and the duration of the fixed income portfolio. Changes in the market value of these futures contracts are recognized currently in the statements of changes in unrestricted net assets, using the marked-to-market method. However, off-balance-sheet index futures contracts involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheets. Market risk represents the potential loss the Corporation faces due to the decrease in the value of the off-balance-sheet financial instruments. Credit risk represents the potential loss the Corporation faces due to the inability of counterparties to meet the terms of their contracts.

# Notes to Financial Statements

for the years ended September 30, 2000 and 1999

The table below summarizes the long and short exchange-traded financial futures positions at September 30, 2000, and September 30, 1999:

	September 30, 2000		September 30, 1999	
	Net number of contracts- long/(short)	Contract Value (in \$ millions)	Net number of contracts- long/(short)	Contract Value (in \$ millions)
Index future contracts				
30-year Treasury bond	(276)	(27.2)	131	14.9
10-year Treasury note	464	46.5	(308)	(33.9)
5-year Treasury note	(98)	(9.9)	—	—
2-year Treasury note	(100)	(20.0)	100	20.8

The margin requirements on deposit with third-party safekeeping banks for index futures contracts were approximately \$1.0 million at September 30, 2000, and \$.7 million at September 30, 1999. The partnerships in which the Corporation invests may also hold index futures and options. These positions are not included in the table above.

The Corporation permits its investment managers to use forward foreign exchange contracts to manage the currency risk inherent in owning securities denominated in foreign currencies. In a forward foreign currency transaction, the Corporation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate. At September 30, 2000, the Corporation held forward currency buy contracts with notional amounts totaling \$1.7 million. At September 30, 1999, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$11 million each. Such contracts involve, to varying degrees, risks of loss arising either from the potential change in market prices or from the possible inability of counterparties to meet the terms of their contracts. Changes in the value of forward foreign currency contracts are recognized as unrealized gains or losses until such contracts are closed.

The Corporation's investment advisors monitor the financial condition of the firms used for futures and forward foreign currency trading in order to minimize the risk of loss. Exposure limits are placed on firms relative to their credit worthiness. Management does not anticipate that losses, if any, resulting from credit or market risk would materially affect the financial statements.



# Notes to Financial Statements

*for the years ended September 30, 2000 and 1999*

## (4) FIXED ASSETS:

Fixed assets are composed of the following at September 30, 2000 and 1999:

	2000	1999
Leasehold improvements	\$3,871,650	\$3,871,650
Furniture and equipment	3,030,815	2,892,697
	6,902,465	6,764,347
Less: accumulated depreciation and amortization	(6,422,166)	(6,233,079)
Total	\$ 480,299	\$ 531,268

## (5) TAXES:

The Corporation is liable for federal excise taxes of two percent of its net investment income, as defined, which includes realized capital gains, for the year. However, this tax is reduced to one percent if certain conditions are met. The Corporation did not meet the requirements for the reduced tax for both 2000 and 1999. Therefore, current taxes are estimated at two percent of net investment income, as defined, for 2000 and 1999.

Deferred taxes represent two percent of unrealized appreciation of investments at September 30, 2000 and 1999, as qualification for the one percent tax is not determinable until the fiscal year in which gains are realized.

During 2000 and 1999, the Corporation had unrelated business income of \$306,200 and \$1,278,600, respectively, from certain investment partnership activities. Taxes of \$130,500 in 2000 and \$549,000 in 1999 on this income are calculated using applicable corporate tax rates and are included in the provision for taxes.

The Corporation paid estimated federal excise taxes of \$4,200,000 in 2000 and \$2,625,000 in 1999. The Corporation also paid estimated federal unrelated business income tax of \$200,000 in 2000 and \$375,000 in 1999.

# Notes to Financial Statements

*for the years ended September 30, 2000 and 1999*

## (6) BENEFIT PLANS:

The Corporation purchases annuities for qualifying employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expense for the years ended September 30, 2000 and 1999, was \$848,700 and \$839,100, respectively.

In addition, the Corporation has a noncontributory defined benefit annuity plan to supplement the basic plan described above. This plan is also administered by Teachers Insurance and Annuity Association and College Retirement Equities Fund. Contributions to this plan are based on actuarial calculations. No contribution was required in 2000 or 1999. At December 31, 1999, the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$1,089,400.

In addition, the Corporation provides certain medical benefits to its retirees. The cost of providing these benefits was \$97,300 in 2000 and \$89,600 in 1999, on a pay-as-you-go basis.

## (7) LEASES:

The Corporation occupies office space at 437 Madison Avenue under two lease agreements. One lease expires December 31, 2003. The second lease expires on February 28, 2001.

The following is a schedule of the future minimum lease payments at September 30, 2000.

Fiscal year ending September 30	
2001	\$1,267,000
2002	1,254,000
2003	1,254,000
2004	314,000
	<u>\$4,089,000</u>

Rental expense for 2000 and 1999, including escalations, was \$1,364,200 and \$1,247,900, respectively.





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